Washington Management Service Handbook

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■■■ About this Handbook

The Washington Management Service Handbook offers detailed guidelines and support information to facilitate state agencies' efforts to successfully implement the Washington Management Service (WMS).

The WMS is designed to ensure decentralized, streamlined personnel administration for management positions. Within the general parameters of the WMS rules (WAC 356-56), each agency has the flexibility to adopt and carry out its own policies regarding compensation, recruitment, selection, training, etc.

The WMS Handbook is intended to help agency human resource professionals and hiring authorities develop a human resource management system that is consistent with the WMS rules and that is equitable, productive, and supportive of agency needs.

Your suggestions for improving the handbook are welcome. General questions or comments concerning the WMS Handbook should be directed to Donna Bogumill at (360) 586-0402 or Julia Graham at (360) 753-5406.

Questions or comments concerning specific subjects within the handbook should be directed as follows:

Compensation	Dorothy Gerard	753-2708
Recruitment and selection	Dorothy Gerard	753-2708
Management development	Scott Turner	586-1342
Related rules	Sharon Whitehead	753-0468

This publication will be made available in alternate format upon request. To request an alternate format, please contact Donna Bogumill at (360) 586-0402.

■■■ Overview of the Washington Management Service

The Washington Management Service (WMS) is a personnel system established separately for civil service managers in state government. It was created by the 1993 Legislature at the request of Governor Mike Lowry as part of a major civil service reform bill. The WMS is codified in statute as RCW 41.06.500.

Key Components of the WMS

- Mandatory; applies to all civil service state employees (except higher education) who meet the definition of manager. (See Chapter 3 for more information on inclusion in the WMS.)

- Simplified classification and compensation system that facilitates mobility and provides flexibility in setting salaries.

- Recruitment and hiring procedures that allow for consideration of all qualified candidates and facilitate workforce diversity.

- Strengthened management development and training.

- Performance appraisal system that emphasizes accountability for program results and managerial skills.

- WMS managers may only be reduced, suspended, demoted, or dismissed for cause.

- The WMS will be administered in a decentralized and regional manner.

Development and Implementation of the WMS

The administrative rules for the WMS are found in Chapter 356-56 WAC. They were adopted by the director of the Department of Personnel, effective January 18, 1994. The rules were drafted during the last six months of 1993 by four task forces composed of more than 40 state agency program managers, personnel professionals, and union representatives. Department of Personnel staff coordinated the development effort.

Proposals for the design of the WMS were shared with more than 1,500 state government managers at locations throughout the state, as well as with private sector managers. Comments and suggestions from all these entities strongly influenced the design of this new personnel system.

During the first half of 1994, the Washington Management Service was implemented on a phase-in basis in four agencies: the Department of Revenue, the Department of Transportation, the Office of Minority and Women's Business Enterprises, and the Department of Personnel. Rules and guidelines were adjusted and improved based on the experiences of these pilot agencies, before the WMS was fully implemented in July 1994.

Benefits of the WMS

The Washington Management Service is meant to be operated in a flexible, stream-lined, and decentralized manner. Benefits of this new personnel system for agencies, WMS managers, and the citizens of Washington State include:

Advantages for state agencies:

- Recognition of performance differences through compensation and mobility.

- Organizational structure and job assignments based on business needs rather than classification system.

- Reduced time, cost, and administrative detail relating to personnel trans-actions.

- Improved performance planning and communication.

- Enhanced diversity among managerial staff.

- Improved managerial skills through customized selection and quality training.

Advantages for WMS managers:

- Identity with profession of management in state service.

- Quality management training tailored to manager's specific development needs.

- Greater flexibility and opportunity for mobility.

- Improved performance planning and communication.

- Meaningful recognition of performance as a manager.

- Reduced administrative time for personnel transactions impacting the manager.

Advantages for Washington State citizens:

- Improved efficiency and effectiveness in the management of Washington State government operations and resources.

- Cost-savings through streamlined administrative procedures.

- Through better management, improved delivery of government services to the state's citizens.

Chapter 1: Overview

Goal of the WMS: High Quality, Professional Managers

A key goal of the Washington Management Service is to ensure more efficient, flexible personnel administration for civil service management positions and employees. That system, however, is actually the means to support the more important and ultimate purpose of the WMS: ***the selection, development, and retention of high quality, professional managers in Washington State service.***

The efficiency and effectiveness with which services are provided to the citizens of this state depends, to a very high degree, on the state employees who support and deliver those services. Ensuring that those employees are skilled, motivated, and operating in a productive environment is **the** primary responsibility of most managers. Expecting and ensuring that managers consistently engage in behavior that supports quality performance of employees is vital to carrying out the mission of state government.

In today's diverse business environment, the ideal manager is one who operates as a coach: a facilitator, motivator, and communicator. The successful manager is one who has vision, a system-wide perspective, and a clear focus on both internal and external customers. The Washington Management Service seeks to ensure that all those who are selected and retained in management positions have the critical knowledge, skills, and abilities to help them be professional, successful managers.

For the most part, those critical management skills apply not only to managers who have a number of direct reports, but also to those managers in strategic policy and individual contribution roles.

The critical knowledge, skills, and abilities (KSAs) for management effectiveness that link all aspects of the Washington Management Service fall into the following categories: communication, decision-making, interpersonal skills, leadership, planning, human resource management, program/project management, and external environment interaction. The critical management KSAs are listed on the following page.

It is the goal of the Washington Management Service to support state agencies in their efforts to hire, develop, and compensate managers who effectively demonstrate these vital knowledge, skills, and abilities.

Knowledge, Skills, and Abilities Critical for Management Success
(Critical KSAs)

COMMUNICATION
- Adapts communications to diverse audiences
- Delivers quality oral presentations
- Demonstrates verbal/non-verbal consistency
- Shares appropriate information internally and externally
- Manages meetings effectively
- Possesses effective listening skills
- Writes and speaks clearly and concisely

DECISION MAKING
- Takes calculated risks
- Uses a logical, rational approach
- Makes timely/responsive decisions
- Takes responsibility for decisions
- Modifies decisions based on new information when appropriate
- Involves appropriate others in the decision-making process

LEADERSHIP
- Coaches and mentors; inspires and motivates
- Delegates responsibility with associated authority
- Demonstrates self-confidence
- Leads by example; serves as appropriate role model
- Promotes a cooperative work environment
- Sets clear, reasonable expectations and follows through
- Remains visible and approachable and interacts with others on a regular basis
- Demonstrates high ethical standards
- Gains support and buy-in through participation of others

PLANNING
- Maintains a clear focus on internal and external customer needs
- Plans and budgets for future resource requirements
- Anticipates problems and develops contingency plans
- Effectively sets priorities
- Establishes challenging, attainable goals and objectives
- Identifies short- and long-range organizational needs
- Looks to the future with a broad perspective

INTERPERSONAL SKILLS
- Relates well with others
- Demonstrates trust, sensitivity, and mutual respect
- Provides timely and honest feedback in a constructive and non-threatening way
- Maintains confidentiality
- Accepts constructive criticism
- Demonstrates consistency and fairness
- Negotiates effectively

HUMAN RESOURCE MANAGEMENT
- Recruits, selects, and retains capable, productive employees
- Achieves affirmative action objectives
- Promotes employee safety and wellness
- Demonstrates knowledge of personnel policies, labor agreements, and Merit System Rules
- Promotes workforce diversity
- Recognizes and rewards good performance
- Assesses and provides for employee development and training
- Encourages and assists employees to achieve full potential
- Evaluates employees timely and thoroughly
- Takes timely, appropriate corrective/disciplinary action

PROGRAM/PROJECT MANAGEMENT
- Monitors and verifies on-going cost
- Ensures quality and quantity standards are met
- Responds effectively to unforeseen problems
- Understands customer needs and ensures customer satisfaction
- Achieves results
- Uses resources efficiently and manages effectively within budget limits

EXTERNAL ENVIRONMENT INTERACTION
- Works effectively within the political environment
- Exhibits knowledge and shows cooperation regarding intra- and inter-agency programs/activities/responsibilities
- Displays sensitivity to public attitudes and concerns
- Understands and cultivates stakeholder relationships
- Demonstrates team play

Chapter 2: RCW and WACs

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■■ Statute Creating Washington Management Service

The Washington Management Service was created as part of the 1993 Civil Service Reform Law. Following is applicable text from the RCW:

RCW 41.06.500 Managers—Rules—Goals. (1) Except as provided in RCW 41.06.070, notwithstanding any other provisions of this chapter, the director is authorized to adopt, after consultation with state agencies and employee organizations, rules for managers as defined in RCW 41.06.022. These rules shall not apply to managers employed by institutions of higher education or related boards or whose positions are exempt. The rules shall govern recruitment, appointment, classification and allocation of positions, examination, training and career development, hours of work, probation, certification, compensation, transfer, affirmative action, promotion, layoff, reemployment, performance appraisals, discipline, and any and all other personnel practices for managers. These rules shall be separate from rules adopted by the board for other employees, and to the extent that the rules adopted apply only to managers shall take precedence over rules adopted by the board, and are not subject to review by the board.

(2) In establishing rules for managers, the director shall adhere to the following goals:

(a) Development of a simplified classification system that facilitates movement of managers between agencies and promotes upward mobility;

(b) Creation of a compensation system consistent with the policy set forth in RCW 41.06.150 (17). The system shall provide flexibility in setting and changing salaries;

(c) Establishment of a performance appraisal system that emphasizes individual accountability for program results and efficient management of resources; effective planning, organization, and communication skills; valuing and managing workplace diversity; development of leadership and interpersonal abilities; and employee development;

(d) Strengthening management training and career development programs that build critical management knowledge, skills, and abilities; focusing on managing and valuing workplace diversity; empowering employees by enabling them to share in workplace decision making and to be innovative, willing to take risks, and able to accept and deal with change; promoting a workplace where the overall focus is on the recipient of the government services and how these services can be improved; and enhancing mobility and career advancement opportunities;

(e) Permitting flexible recruitment and hiring procedures that enable agencies to compete effectively with other employers, both public and private, for managers with appropriate skills and training; allowing consideration of all qualified candidates for positions as managers; and achieving affirmative action goals and diversity in the workplace;

(f) Providing that managers may only be reduced, dismissed, suspended, or demoted for cause; and

(g) Facilitating decentralized and regional administration.
[1993 c 281 § 9.]

■■■ Washington Management Service Rules

The personnel rules for the Washington Management Service were adopted by the Director of the Department of Personnel in December 1993. These rules are found in Chapter 356-56 WAC. A copy is included on the following pages.

Chapter 3: Inclusion in Washington Management Service

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■ Definition of Manager

Positions are included in the Washington Management Service if they meet the following definition of manager as outlined in RCW 41.06.500 and WAC 356-56-002:

- Formulates statewide policy or directs the work of an agency or agency subdivision;

- Is responsible to administer one or more statewide policies or programs of an agency or agency subdivision;

- Manages, administers, and controls a local branch office of an agency or agency subdivision, including the physical, financial, or personnel resources;

- Has substantial responsibility in personnel administration, legislative relations, public information, or the preparation and administration of budgets; OR,

- Functionally is above the first level of supervision and exercises authority that is not merely routine or clerical in nature and requires the consistent use of independent judgment.

■ Sample Agency Guidelines for Determining Inclusion

Formulates statewide policy or directs the work of an agency or agency sub-division.

■ The position determines and/or actively participates in making policy which is applicable throughout the state.

■ The position has the authority to develop, modify, or set policy. Not everyone who drafts policy fits this definition, but the definition may include those whose primary focus is the researching and drafting of policy at a senior professional level.

■ The position directs the work of an agency or agency subdivision, including developing, devising, and preparing a principle plan or course of action for internal or external use.

Examples of positions in our agency that meet this definition:

_____

_____

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_____

Is responsible to administer one or more statewide policies or programs of an agency or agency subdivision.

■ The position independently manages, directs, operates, or carries out statewide programs in accordance with broad policy statements and/or legal requirements.

■ The position determines and/or actively participates in making policy, formulates long-range objectives and programs, integrates internal and external program and policy issues, and reviews the implementation of programs for conformance to policies and objectives.

■ Duties include extensive analysis of systems, facts, figures, or similar information to determine the nature and scope of problems which need to be solved.

Work involves revising old or originating new policies, procedures, and/or programs to deal with these problems and being accountable for the consequences.

■   This portion of the definition would include those positions that are responsible for policies and/or programs on a statewide basis and would not include regional positions that are responsible to carry out policies and programs region-wide.

Examples of positions in our agency that meet this definition:

_____

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Manages, administers, and controls a local branch office of an agency or agency subdivision, including the physical, financial, or personnel resources.

■   A branch office is located away from the principal office of an agency or agency subdivision and includes within it implementation of the policies and programs of the principal office. Not all remote locations or facilities would be considered branch offices under this definition. For example, a small maintenance shop or similar facility would probably not meet the definition of local branch office.

■   The position exercises authority, regulates, directs, and influences a branch office. The position is responsible and accountable for program results and effective utilization of physical, financial, or personnel resources.

■   The position manages, oversees, regulates, and/or supervises the implementation of programs and policies in a branch office.

Examples of positions in our agency that meet this definition:

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Chapter 3: Inclusion in Washington Management Service

Has substantial responsibility in personnel administration, legislative relations, public information, or the preparation and administration of budgets.

- The position is typically at a professional level and provides advice and assistance in the formulation, implementation, and administration of policies.

- The position has responsibility for the integration of internal and external policies and programs.

- Positions under this definition perform one or more of these management staff functions a majority of the time, typically within a headquarters office.

- These positions would generally be senior level professionals.

Examples of positions in our agency that meet this definition:

_____

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Functionally is above the first level of supervision and exercises authority that is not merely routine or clerical in nature and requires the consistent use of independent judgment.

- The position supervises first- or higher-level supervisors who oversee, direct, or manage employees.

- The position has the authority to make decisions regarding the work processes and methods which will be used, without higher level approval. The authority exercised requires the use of independent judgement and is not prescribed, predictable, regular, or unvarying.

- Major duties and responsibilities are planning, coordinating, integrating, executing, controlling, and evaluating activities, functions, and sub-functions of an agency, including budget, policies, procedures, and supervision of first-level supervisors.

Examples of positions in our agency that meet this definition:

_____

_____

_____

■■■ Sample Letter: Notification of Inclusion in WMS

August 19, 1996

TO: Jane Doe

FROM: John Smith
             Personnel Officer

SUBJECT: Washington Management Service Position

The purpose of this correspondence is to confirm that your position has been identified as meeting the definition of "manager" and will be included in the Washington Management Service (WMS). As you know, the Washington Management Service is a new system for managers in state government that provides greater flexibility in the recruitment, selection, and compensation of managers. The WMS also provides an enhanced managerial training and career development program and a performance appraisal system that emphasizes accountability and employee development.

I will be speaking with you in the near future regarding completion of the position description and job value assessment for your position. If you have any questions about the Washington Management Service, please let me know.

If you disagree with your position being designated as a WMS position, you may request an internal agency review by notifying the Personnel Office. Your position will be reviewed according to the agency review policy and procedure. If you disagree with the results of the internal agency review, you may, within 15 calendar days, make written request to the Director of Personnel for a final review. The decision of the Director of Personnel is final.

Chapter 4: Classification & Compensation

Chapter Contents

■■■ Introduction

The 1993 civil service reform law (RCW 41.06.500) calls for a compensation system that provides "flexibility in setting and changing salaries." The system must also be consistent with RCW 41.06.150 (17), which addresses the adoption of a salary schedule reflecting prevailing rates.

Within this framework, the Washington Management Service (WMS) compensation system was developed to meet the following goals:

- To provide agencies flexibility in determining and adjusting managers' salaries.

- To ensure fair and consistent compensation practices throughout the Washington Management Service.

- To assist agencies' need to keep overall cost of managers' salaries within currently budgeted dollars.

To accomplish these goals, the Department of Personnel has provided an overall salary structure, classification system, and point factor assessment chart, plus guidelines and examples for determining and adjusting salaries. DOP will also provide consultation and assistance to agencies as needed and will track salary practices in order to provide information on the impact of the Washington Management Service implementation to the Governor and the Legislature.

Agencies will be responsible for setting internal policies for applying the guidelines and for using them to determine and adjust the salaries of individual employees and/or positions within the overall salary structure.

The compensation guidelines included in this chapter are meant to:

- Support agencies in the development and implementation of specific compensation policies and plans that meet their unique organizational needs.

- Assure policies and plans are consistent with WMS rules.

- Assure that specific provisions of policies and plans provide equitable and consistent outcomes to employees regardless of which agency is involved.

- Assure consistent application of salary administration practices throughout the WMS.

- Allow for quicker, more efficient and more customized responses by agencies to compensation, classification, and organizational problems or changes.

Chapter 4: Classification and Compensation

■■■ Overview of WMS Compensation System

The Washington Management Service compensation system is based on a "broad banding" approach to job classification. Under this approach, all WMS positions are grouped into four broad salary range categories, or management bands. Each band is composed of a salary minimum and maximum dollar level and a range of evaluated points.

A position description and a job value assessment chart are utilized to arrive at a point value for each position. The point value then determines into which of four management bands a position is placed. The assessment chart measures three common and important dimensions of management work:

- Nature of management.

- Decision-making environment and policy impact.

- Scope of management accountability and control.

The chart on page 4-3 shows the point and dollar values associated with each of the four management bands. Each band encompasses a salary range of 35–45 percent from minimum to maximum, with overlap ranging from 5–10 percent between bands. The management band to which a position is assigned provides the minimum and maximum salary for that position. Within the salary limits of the band, agency policies and judgements will influence how the actual salary is determined for the employee and/or position. Salary determination guidelines begin on page 4-18 .

Under this system, individual salaries will be more directly related to the actual work responsibilities, management skill requirements, and reporting accountability of a position, rather than using a generic job classification to determine a salary range. Agencies will also have flexibility to adjust salaries to reflect changes in the position's responsibilities, to meet documented recruitment and/or retention problems, to resolve documented internal salary relationship problems, and to recognize an employee's demonstrated growth and development.

Agencies also have the option of providing recognition compensation, in the form of lump sum pay, for exceptional work performance and achievement, as discussed beginning on page 4-31.

Washington Management Service
Management Bands
Effective July 1, 1999

BAND IV

1400 pts.

$101,900

BAND III

927pts.

$85,000

$70,000

928 pts.

BAND II

686 pts.

$69,500

$56,700

687 pts.

BAND I

527 pts.

Maximum Salary ➡ $56,300

$44,000

528 pts.

Minimum Salary ➡ $34,000

422 pts.

Figure 4.1 Illustration of Management Bands

This graph shows the point and dollar values attached to the four WMS management bands. Positions are placed into bands according to the points arrived at through the point factor evaluation process. Once a position is placed in a band, the minimum and maximum salary of that band determine the salary limits for the position. The large majority of currently identified WMS positions will be placed in Band I or II. The salary structure was developed to fully accommodate all WMS positions and also incorporate most exempt positions should they eventually be brought under the same compensation system.

Chapter 4: Classification and Compensation

■■■ Management Band Characteristics

The following are general characteristics of positions in each of the four management bands. These are general characteristics only and should be considered as a reference guide, **not** as absolute and inflexible criteria required to be met in determining the proper band placement of a position.

Management Band Level I

- Essence of the job is management of resources (e.g., human resources, budget, physical resources).

- Requires knowledge and application of management principles. May also require application of technical subject matter expertise. Incumbent may still be developing professionally in each area.

- Management challenge is primarily tactical (short term, day-to-day) and task focused, with an appropriate knowledge/recognition of other organizations and their work.

- Results achieved from directing multiple resources.

- May manage supervisors or lead employees, but typically manages individual contributors at all levels of job responsibility.

- Has recognizable influence on policy, but policy making authority is typically limited to providing input.

- Compared to lower level supervisory position, has greater emphasis on determining work to be done. Includes some negotiation of goals and objectives and provides input on resources required.

- Increased emphasis on work planning, fiscal and budget accountability.

- Little to no emphasis required on longer term strategic thinking, planning, etc.

Management Band Level II

- The management challenge is primarily working with people, with appropriate integration or consideration of work in other organizations internal and external to that manager's work group.

- Typically, duties involve a continuous development of managerial knowledge and skills and some expertise in the subject-matter areas of the job scope.

- Involves less day-to-day task oriented activities. The work scope requirement typically goes beyond the day-to-day issues and activities.

- Provides substantive input to major policy issues and decisions. With moderate influence (guidance, support) from higher level management, will determine some policy within the division or the agency, generally on issues of lower impact or scope.

- The management focus is primarily on tactical level issues/decisions/etc. with appropriate consideration of strategic implications.

- Negotiates the work unit's (size may vary) goals and objectives, providing input to next level manager on necessary resources, trade-offs, etc. to accomplish the goals and objectives.

Management Band Level III

- May manage multiple organizations but more typically is responsible for an important business segment that carries significant impact to the department's overall client base, business function, or mission.

- Manages managers, supervisors and/or individual contributors.

- Senior level program/project manager with scope of responsibility of considerable significance to department.

- Management focus balanced between strategic and tactical actions and considerations.

- May negotiate scope of organization's responsibilities and resources but typically negotiates annual goals and objectives and provides input to organization's responsibilities/resources.

- Effectively recommends changes to organization's policies; has some leeway of policy-making authority affecting process or methodology but typically not content or impact.

- The primary challenge is to balance effort and attention between the organization's mission and its employees' responsibilities and requirements.

Management Band Level IV

- Requires professional mastery (breadth/depth) of job specific and/or managerial responsibilities.

- Scope of authority and impact encompasses entire department with significant impact both from within and outside of state government.

- The primary challenge typically encompasses the management and integration of multiple organizations in similar professional fields but having different program or functional aspects.

- Organization's functional responsibilities considered a significant component of department's mission.

- Member of top executive staff and/or the senior policy making group of the department.

- Responsibility and accountability focused primarily at strategic level with appropriate tactical overview.

- Manages managers and senior-level policy research and development professionals.

- Focus is primarily strategic business management (policy making, budgeting, staffing and resources allocation, etc.) with occasional demands for high levels of individual technical output.

- Negotiates scope of entire organization's responsibilities, resources, goals, and objectives.

Note: Many exempt management positions will also possess the same position characteristics of WMS band levels I–IV. The difference between these management positions is not their management characteristics, but their specific or separate statute for exemption. Most assistant directors or division directors, if not exempt, would probably fit into either Band III or IV.

◼︎◼ Agency Policies

In developing internal policies for WMS classification and compensation administra–tion, agencies will need to strike a balance among several broad principles:

- Delegating responsibility and accountability for making compensation decisions to the lowest possible level within the organization.

- Ensuring fair and equitable treatment of all employees.

- Effectively managing budget dollars available for management salaries.

It is up to each agency to determine which compensation issues will be covered by inter-nal agency policies. The following discussion is provided to generate ideas and suggest some areas where agencies may wish to consider developing policies.

 DOP staff are available to provide consultation and assistance in preparing compensa-tion policies.

Position Descriptions and Point Value Assessments

What process will be used for completing position descriptions and conducting the point factor evaluations? There are a number of options agencies might choose for evaluating and assigning points to WMS positions using the Job Value Assessment Chart and process:

- **Committee**

   A management/executive staff person might chair a committee composed of the HR manager, selected agency managers from the divisions, and representatives from the agency personnel operation. The Department of Personnel analyst assigned to an agency might be valuable as either a member of, or advisor to, the committee.

   The committee should strive for regional and diversity balance. The size of the committee may vary from agency to agency, but should probably not exceed ten members. To ensure consistency of system application throughout state government, DOP will provide training to trainers of committee members.

   The committee's evaluations may be recommended to the agency man-agement team, which would then review the evaluations across divisions. While change is unlikely, requirements for internal alignment or com-parison with other jobs may compel it.

- **Human Resource Manager**

   The HR manager might be assigned responsibility to evaluate each posi-tion and prepare a preliminary evaluation independently. An internal re-

Chapter 4: Classification and Compensation

    view would be done by representatives of the executive management team before the evaluation is finalized. This would facilitate input and consistency across organizational lines. A review of the evaluation by an agency's DOP analyst may help to provide consistency across agency lines.

- **Human Resource Committee**

    Agencies may choose to use a committee chaired by the agency HR manager (or designee), with membership composed of the personnel officers from major divisions. Here again, the agency DOP analyst could participate to assist the agency and to assure consistency throughout state government. A personnel representative from a related agency may also be added to the committee to provide additional perspective.

    The committee's evaluations may be recommended to the agency management team, which would then review the evaluations across divisions.

Position Reevaluation

Reevaluation of a position may not be necessary or appropriate for every slight change in a position's responsibilities. Agency policies should determine when a change is significant enough to warrant conducting a reevaluation of the position.

Unless otherwise stated in agency policy, reevaluation may be requested by:

- The agency (i.e., the director or the human resources manager).

- The employee.

- The employee's supervisor.

- DOP (only when an evaluation appears to be inconsistent).

Rationale for reevaluation requests may include, but are not limited to:

- Significant change in duties and responsibilities.

- Change in reporting relationship.

- New program/monies assigned to manager's area.

- Down-sizing, budget cuts.

- Reorganization/realignment.

Questions to ask concerning the reevaluation process:

- How will the reevaluation be conducted? By whom? Will the same process be used as was used for the initial job value assessment?

- Once a reevaluation has been conducted and the point value has increased, how will the amount of the salary adjustment be determined?

- Will the supervisor be responsible for recommending the salary adjustment? What approval process, if any, is needed?

Salary Determinations and Adjustments

Within the band structure and guidelines provided by the Department of Personnel, agencies have flexibility for determining the specific salary for a position. Some possible questions to consider in devising policies include:

- What is the agency's philosophy on salary adjustments?

- What approach will the agency use for recommendation and approval of the salary amount?

- What coordination or oversight is needed to maintain equity across units and divisions within the agency?

- How will determination of WMS salaries fit into the agency's budget process and management philosophy?

- How should salaries be monitored on an agency-wide basis, i.e., spot check, detailed review, pre-approval process, etc.?

- What documentation will the agency need on salary determinations and adjustments?

Chapter 4: Classification and Compensation

■■■ Initial Implementation

Transition of incumbents to the WMS Compensation System

Employees will enter the WMS at their current salary. All positions will be placed into a transition category called WMS00. This code (WMS00) is programmed into the personnel/payroll system as the holding category until a point factor evaluation is completed on each position. As positions are evaluated, they will be moved into one of the four management bands and given the corresponding personnel/payroll code:

Band I	WMS01
Band II	WMS02
Band III	WMS03
Band IV	WMS04

> **Example:** *John S. is in position number 2234 in Department XYZ. His current class is Management Accountant, class code 05999. His salary is $3,566 per month. When John is transitioned into the WMS, everything remains the same, except his class code changes to WMS00 until his agency has evaluated all its WMS positions. Several months later, the agency completes all of its evaluations and John's position is evaluated at 546 points. He is then placed into Band II and given the personnel/payroll code WMS02.*

To facilitate the transition to the new compensation system, it is recommended that employees remain at their current salary level (except for periodic increments, if any) for the first six months after conversion to the WMS, or until after all WMS positions in an agency have been evaluated using the point-factor assessment chart. Vacant positions will need to be "priced" prior to or during the hiring process.

Increment or "Step" Increases

Employees whose positions are included initially or at a later date in the WMS, who are on salary steps below Step K, will continue to receive an annual Periodic Increment Date (PID) increase. If their salary is adjusted to an amount equal to or higher than their Step K rate, they are no longer eligible for step increases.

> **Example:** *Carol M. works for ABC Agency. She is currently at Step I of Range 52, with an annual salary of $41,460. Step K is $43,572. Her salary is adjusted to $44,000/yr. Since that rate is higher than Step K, she is no longer eligible for a step increase.*

Position Evaluations

Each WMS position will be evaluated using the WMS Managerial Job Value Assessment Chart. To aid the establishment of the WMS process and associated procedures within each agency, it is recommended that, during the six months following the initial evaluations, reevaluations should be undertaken only on an exceptional basis, with the approval of the agency director or human resources manager.

Salary Issues (Anomalies) from the Conversion Process

As positions are converted to the WMS compensation system, some anomalies will become apparent. These are cases where the current salary of the position does not fit within the management band determined by the point factor evaluation.

Positions that have salary amounts above the maximum salary of the band should be "frozen, red-circled, Y-rated", etc. until the maximum salary of the band exceeds the position's salary, the incumbent leaves the position, or a later point factor assessment places the position in a higher band. The incumbent's salary may not be reduced to fit in the lower band, as RCW 41.06.500 specifically states that WMS employees may not be reduced except for cause.

> **Example:** *At the time of transition to the WMS, Sam W. is receiving an annual salary of $53,000. When the point factor assessment is completed, his position receives 516 points. This places his position in Band I. His salary is above the maximum for the band (which is $52,000). His salary would therefore be frozen at $53,000.*
>
> *The dollar values attached to the bands will change over time, due to general structure increases, so at some point in the future his salary would fall within Band I and he would be eligible for increases up to the new band level maximum. Or, his duties and responsibilities may change sufficiently to give his position a higher point value that fits within Band II and his salary could be reviewed and adjusted if appropriate.*

If a position's salary is below the band level minimum, the salary should be increased to, at least, the minimum of the band within one year of implementation. If an agency's fiscal situation makes this difficult to achieve, DOP staff will work with the agency to develop a solution.

> **Example:** *Hank L. has an annual salary of $52,000, which places him in Band II. His position is evaluated at 724 points, which is in Band III. His salary should be increased to $54,000—the bottom limit for Band III—within one year of the agency's implementation of that evaluation.*

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Promotions and Hires During the Transition Period

Promotions and new hires will continue to take place during the transition period. When filling a position that has not been evaluated and, therefore, is in the transition category (WMS00), the agency could take a couple of approaches for determining the salary:

1) Hold off on filling the position until the point factor evaluation is completed and the position is placed in a band, then follow the salary determination guidelines beginning on page 4–18.

2) Leave the position in the transition category, and consider both the relevant guidelines and pertinent historical data, such as salary ranges, reporting relationships, management level, etc.

Information System Adjustments

The central personnel/payroll system has been modified to allow agencies to enter certain information to identify WMS employees and positions. There will not be any automatic system conversions, as each agency needs to evaluate its positions and determine which will be included in the WMS.

The following is a brief description of the initial system changes.

B.03 Class Screen changes:

▪ Accepts class codes of WMS00 through WMS04.

▪ Accepts full/short titles for WMS classifications.

▪ Range code will not be entered on classification screen.

B.21 Position Screen changes:

▪ Accepts class codes of WMS00 through WMS04.

▪ Range code field will not be required for WMS classifications.

A.02 Appointment Screen changes:

▪ Adds a new field for "working title" to describe the position.

▪ Accepts class codes of WMS00 through WMS04.

▪ Accepts old range and step to allow the PID process to continue to notify agencies when a possible salary and step increase is due.

▪ Allows salary from the minimum through the maximum salary range of the band.

- Changes the PID process to notify agencies to review if a periodic increment is needed. Agencies will be required to change salary, range, and step as needed.

- Adds action codes and appointment status codes for WMS acting appointments.

- Establishes additional action codes for transition into WMS and additional salary adjustment conditions.

- Adds a new pay rate exception code "W" to allow a salary outside the minimum and maximum salary range of the band for certain conditions.

- Adds special pay codes to identify managers receiving assignment pay; this may be needed in the future to determine the base salary for reporting purposes.

A.73 Allowance for "lump sum" payments:

- The current payroll "allowance" table screen will be used to identify recognition pay; certain allowance codes will be established for these purposes.

- Any recognition pay will need to be entered on the A.73 allowance screen using the appropriate code.

Further system changes will be completed in time for full implementation of the WMS. Agency reporting requirements will also be determined and reports developed before full implementation. Detailed information will be sent to agencies as changes are made.

▬▬ Position Descriptions and Point Value Assessments

Positions in the WMS are evaluated individually, using the Management Position Description form and Managerial Job Value Assessment Chart provided by the Department of Personnel. Following are some general guidelines for completing the description form, using the assessment chart, and determining the position's band level and subsequent salary amount. Specific information relating to the use and interpretation of the Job Value Assessment Chart is found in the "Job Evaluation Handbook." A current copy of this handbook is available from the Department of Personnel.

Management Position Description

The Management Position Description form (Figure 4.2, below, and Attachment 4-A) is the basis for evaluating the position and placing it in one of the four management bands. It is critical that this form provide a complete and accurate description of the position's duties and responsibilities and fully answers all questions. This form replaces the Classification Questionnaire (CQ) for WMS positions. The CQ will continue to be used in the General Service.

Figure 4.2 Management Position Description Form
(for full size copy, see Attachment 4-A)

WASHINGTON MANAGEMENT SERVICE

JOB VALUE ASSESSMENT CHART

(1) NATURE OF MANAGEMENT	(2) DECISION-MAKING ENVIRONMENT AND POLICY IMPACT																							
	1. Judgements and decisions are guided by familiar and reliable policies and established guidelines and management imposed limits. Thinking within defined rules/regulations and procedures. Develops and prioritizes tasks within specific work unit. Impact generally limited to interpretation/application of clearly defined regulations.				2. Judgements and decisions are primarily tactical, guided by policies and guidelines... significant diver... relative to ... considerations. ... broadly outlined complex regulations for application of service delivery or program operations.				3. Judgements and decisions require consideration of both tactical and strategic outcomes. Interpret and implement broad departmental policy for developing program guidelines and procedures.				4. Thinking environment requires strategic judgements/decisions where there are generally few prescribed or established approaches (balancing competing demands/priorities for resources.) Develops policy for major programs or organizational groups.				5. Strategic and creative thinking having longer-term impact. Develops policy having broad organization-wide application for design and delivery of programs and services affecting a substantial segment of citizens or government.				6. Strategic and visionary thinking having long-term statewide application and impact. Develops policy/implements policy critical to the central business purpose of the State.			
	SCOPE				SCOPE				SCOPE				SCOPE				SCOPE				SCOPE			
	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z
A. Fundamental application of management principles. A unit/team, having focused scope, with indicators and/or first-line supervisors. Le... Emphasis on tactical thinking and ... OR, practitioner of recognized discipline having management accountability.	422	442	486		432	452	504		444	464	516													
B. Full utilization of management principles. Tactical planning and responses, some strategic thinking and action. A unit, multiple programs or functional activities. Typically directs supervisors and/or professional practioners. Focused on goals/objectives. OR, advanced practitioner requiring a high level of knowledge in a discipline and overseeing a professional staff.	494	512	584		546	570	598		562				580	604	692									
C. Application of advanced management principles and skills. Planning and management primarily strategic. Functional area or diverse organizational unit. Typically directs/integrates work of managers and supervisors. Management of or mastery of a recognized discipline involving direction of complex technical/advanced skilled professionals.					630	704	796		748	768	848		776	800	888	1016	808	828	948	1068				
D. Sophisticated application of advanced management principles/skills. Strategic focus; highly experienced. A large unit in large agency, major policy impacts at agency and/or statewide level. Management of managers and senior policy professionals. In smaller organizations fewer staff, but the most critical policy impact.													976	1012	1100		1048	1136	1256				1232	1368
E. It is displayed to provide a reference point. Expert applications of advanced management principles; directions are diverse and complex organizations with critical statewide impact on citizens and government. Highest level of administration and directorship positions.	(3) SCOPE OF MANAGEMENT ACCOUNTABILITY AND CONTROL																							

(3) SCOPE OF MANAGEMENT ACCOUNTABILITY AND CONTROL

CONSIDER:
Authority to take action.
Area(s) of effect.
Nature of effect.

W: Control or influence of limited resources.
X: Control of substantial programs or resources; or influence on major policies or services.
Y: Control of major resources; or critical influence... large organization or public policy.
Z: Control of complex entity.

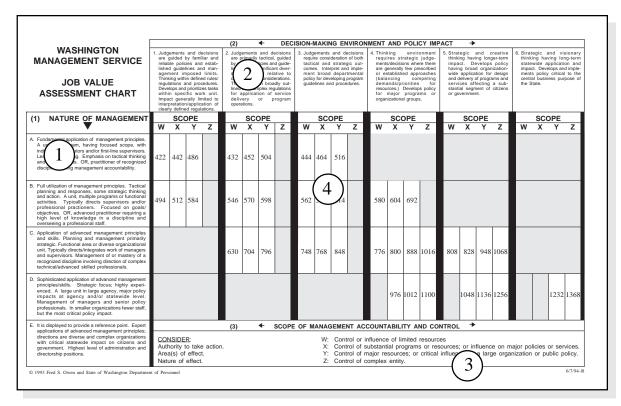© 1993 Fred S. Owen and State of Washington Department of Personnel   6/7/94–R

Figure 4.3 Managerial Job Value Assessment Chart
(for larger copy, see Attachment 4-D)

The position description form calls for information in five major areas:

- Position Objective
- Financial Dimensions
- Knowledge and Skills Required
- Principal Responsibilities
- Nature and Scope

It is recommended that the position description form be completed by the incumbent, with review and signature of the supervisor. In the case of a vacant position, the description would normally be completed by the supervisor. (See Attachment 4-B for a sample position description and Attachment 4-C for examples covering some of the major areas on the position description form.)

Managerial Job Value Assessment Chart and Band Placement

Once the position description has been prepared and approved, the position is evaluated and assigned points using the Managerial Job Value Assessment Chart. (See Figure 4.3 above and Attachment 4–D.)

Depending on the approach set forth in agency policy, a designated individual or committee will evaluate the position, determine its point value, and place the position into

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the management band corresponding to this point value. (See page 4-3 for a chart showing the point values corresponding to the four management bands.)

To use the chart, the evaluator begins with an assessment of the position's nature of management (1) on the left column of the chart. The evaluator then assesses the position's decision-making environment and policy impact (2), reading across the assessment chart. The last element considered is the scope of management accountability and control (3) at the bottom of the chart. The evaluator determines the single point value (4) that corresponds to the three selected criteria statements. This value determines the position's management band.

> **Example:** *Kim D. completes a position description, which is then approved by her supervisor. Per the agency's policy, the position description then goes to the agency's standing compensation committee, which will conduct the position evaluation. After carefully evaluating Kim's position, the committee members determine that the nature of management is B, the decision making environment and policy impact is a 3, and the scope of management responsibility is X. This combination of B3X corresponds to 586 points (4). This point value places Kim's position in Band II, with a salary range of $42,000–$64,500.*

In the example above, the 586 points are referred to as the position's **evaluated points** and B3X-586 as its **profile**. Some agencies may want an executive management review of the evaluation before sharing it with the employee(s).

Anchor Positions

There are two types of anchor positions that will aide managers in the evaluation process for the WMS. These anchor positions are to be used as reference points in the overall placement of positions in the WMS. The two categories are:

- Generic type anchor positions – These are functions that have historically been classified the same from one agency to another. Examples might be:

    - Accounting Manager 2, class code 13640

    - Personnel Manager 3, class code 19680

    - Information Technology Manager 3, class code 03252

- Agency unique type anchor positions – These are functions that are typically used only in one agency and were specifically established to support the unique mission of the agency. Examples are:

    - Job Service Manager 2, class code 30520 in the Department of Employment Security

– Support Enforcement Program Administrator 4, class code 46732 in the Department of Social and Health Services

– Revenue Compliance Program Manager, class code 15200 in the Department of Revenue

Anchor positions will be further identified as more experience is gained using the point factor evaluation chart and will be documented in the Evaluation Handbook, which will be provided as part of the training described below.

These anchor positions will be used as reference points for managers and agency personnel officials. These historical evaluations should give managers a sense of perspective and an idea of where a position may fit in comparison to existing evaluations.

DOP Assistance

The Department of Personnel will provide training that will assist managers in writing and/or reviewing position descriptions, using the point factor evaluation chart and developing sound compensation policy. DOP staff are available to assist or consult with agencies as requested. DOP is developing, with HRISD support, a number of ad hoc reports providing information for response to legislative/executive questions on WMS implementation.

■■■ Base Salary Determinations

Guidelines on establishing a salary standard, range of consideration, and individual salary determinations are intended to assist agency management in taking appropriate and consistent action with respect to salary administration. They should not be taken as absolutes, but rather as a framework for decisions. Deviations from these salary administration guidelines will occur. Such deviations should be carefully considered and should be based on demonstrated needs relevant to the agency and the individual position.

Salary Standard (Also called Position Salary, Salary Level, etc.)

The establishment of an appropriate salary standard for a position is an important first step in establishing the salary amount for an employee. Establishing an appropriate salary amount is a moving and dynamic target and should not be considered fixed or inflexible.
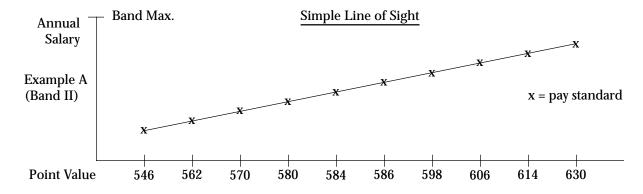
The salary standard(s) should be viewed as the pay rate an agency would pay a fully qualified and experienced (for the position) employee, sort of analogous to the Step K rate in the general government structure. Salary standards can be established for an entire group of positions and/or for individual positions typically all within the same evaluated point value.

There are several methods an agency may use to establish a salary standard. The simple method is to select a salary level that best represents the rate of pay of all or most positions in the same point value. The most appropriate salary level or pay rate and subsequent data point in each point value can be determined by: 1) using the mean, median, or mode of all the current salaries; 2) choosing the highest salary level identified or; 3) the salary level desired by the agency. The important consideration is that an agency use consistent rationale in its determinations.

The simple method works well when an agency has only a few positions in the WMS. Agencies with many WMS positions distributed throughout the bands and point values may wish to establish a pay line to determine salary standards. A pay line is a graphical presentation of pay standards at each point value. The value of using a pay line approach lies in: 1) showing employees that each higher point value has a higher pay standard; 2) using pay standards as reference points for point values not yet used by the agency; 3) developing pay comparisons statewide and within agencies between positions in the same point value, and; (4) developing a tool to manage salary growth and individual pay determinations within a band.

Pay standards using a pay line approach can be determined in one of two ways. The line of sight method calls for drawing a line through a field of current salaries at each point value (Example A). The objective is to create a best fit relationship between the various salary levels identified. To establish the line for least squares calculation, contact the
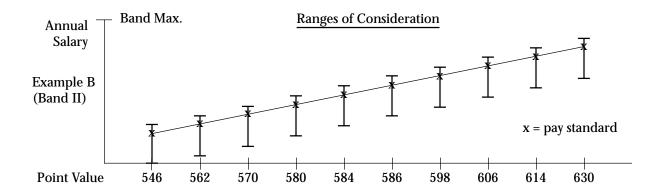
Department of Personnel State Compensation Office for examples and support. In either case, the X (point level) and Y (annual salary) intercepts represent the pay standard for each point value. An agency may wish to work with several different methods before selecting one that meets its needs. Alterations to the height and slope of the line may be done to best accommodate an agency's current salaries and related internal pay relationships.

When using the pay line approach, be sure to assess the pay standard relationships created to the pay rates of exempt management, not in the WMS. Also compare pay standards between bands to assure proper salary level relationships.

Range of Consideration

The range of consideration is a range of salary typically above and below the salary standard which an agency uses to determine individual salary placement. (Example B) A typical range of salary is 5% above the pay standard and 20% below. Each agency will choose its own range parameters to fit its particular needs. This "range" helps agencies to identify and remain consistent with individual pay determinations of employees/new hires who may be less than fully experienced for the job or whom an agency may need to pay more due to the labor market. The range of consideration should be viewed as a

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tool to manage salaries. It is **not** a separate pay range within the band. The salary standards will typically change as adjustments to the bands or general increases from the Legislature are granted. Agencies should be flexible in their practice to pay outside the range of consideration. It is important, however, that agencies develop criteria for decision-making to assure guideline and practices are applied consistently.

Depending on the proximity of the salary standard to the band minimum and maximum, the range of consideration may vary slightly, particularly at the lower and higher point values.

Individual Pay Determinations – General Guidelines

The salary standard for the open position provides a reference point for determining an employee's salary or the salary offered to a job applicant. Once determined, there are other pertinent factors to be considered:

- The point value of the position related to like or similar positions in the organization. (While the point values do not correspond to specific salaries, an agency may wish to work towards, over time, a correlation between point values and salaries.)

- The current salary of the incumbent/applicant, or, for a vacant position, the salary of the last incumbent.

- Salaries of other employees in the agency with like or similar experience, skills, and responsibilities.

- For employees who have been transitioned into the WMS, the general service salary range of the employee's current position if not at Step K.

- Recruitment and retention needs (see section under Salary Adjustments, page 4-26).

- Market conditions.

- Internal alignments (i.e., the affect that this position's salary may have on other positions and/or individuals.)

- Experience and skill level of the employee or applicant being considered. (Consider the potential for future growth and leave room to acknowledge such growth with progression adjustments and supervisors/managers of the position.)

- Impact on agency and program budgets.

DOP compensation staff are available to provide consultation and assistance and/or to review salary determination decisions as requested. To request such assistance, each agency should contact its assigned compensation analyst.

Example: *Position 4445 in Department WZX is vacant due to a retirement and needs to be filled. What salary should be paid?*

Step 1: *Identify the existing information available for decision making:*

Last incumbent's salary = $4,100 per month.

Point value assessed for this position = B2X –546 points, which places the position in Band II.

Band II salary minimum = $3,500 per month.

Band II salary maximum = $5,375 per month.

Step 2: *Look at the point values of like or similar positions in the organization and experienced incumbent salaries:*

Position A	B2W – 546 points	Band II	$3,710 current salary
Position B	B2Y – 598 points	Band II	$3,500 current salary
Position C	C2Y – 796 points	Band III	$4,640 current salary
Position D	B2X – 570 points	Band I	$3,790 current salary

Delete Position C from consideration, because it has a much broader program requiring significantly more management skills and organization resources to manage compared to this vacant position and the other three peer positions.

Step 3: *Look at the experience, knowledge, and qualifications each incumbent has in the profession and in the organization.*

Step 4: *Compare the pool of candidates that have applied for the position against the general criteria in Step 3.*

The candidate pool had 15 senior specialists from within the organization and 10 senior professionals from other government and private organizations.

Step 5: *Select the top candidates from the applicant pool and interview:*

1. *Joe W., agency promotional, currently at $3,420.*
2. *Beth J., agency promotional, currently at $3,300.*
3. *Max R., private company, currently at $3,400.*
4. *Pete C., promotional from another agency, currently at $3,110.*

All candidates have equivalent experience and skills.

Analysis: *Based on the general guidelines for the WMS, related positions in the organization, management's evaluation of the position, the candidate pool*

available, and the salary of the retired incumbent, it was determined that a salary of $3,600 would be appropriate.

Beth was selected as the top candidate. She was offered and accepted a salary of $3,630, which reflected an increase of 10% over her current salary. This amount fit well with the experience Beth brings to the job and would fit well with the salary and experience level of her peers. It also allows for possible future progression adjustments.

Other Important Considerations

Managers should carefully consider the impacts of their decisions and be alert to certain problems that might be encountered. Some examples:

- Peer pressure for equal treatment regardless of rationale, especially in terms of salary.

- Morale problems with other managers.

- Domino affect of taking one action that requires many more be taken to catch up.

- The appearance of "salary and/or band creep."

- Future cost impact (bow wave) of salary changes.

There may be a desire to provide adjustments to positions which have historically been significantly behind the private sector. Since the Legislature authorizes general salary increases as a result of salary surveys, this criterion should not be considered as a rationale to increase salaries. Market/prevailing rate comparisons are factors to consider when there are recruitment and retention problems, but authority to grant salary increases to implement salary survey recommendations is the responsibility of the Legislature.

Recognizing that no additional dollars will be available for implementation of WMS salary adjustments, agency compensation policies should be implemented cautiously with any salary increases judiciously applied using objective, defensible criteria.

■■■ Salary Adjustments

WAC 356-56-115 outlines conditions under which salary adjustments may be made. Salary adjustments may not exceed 10% for any 12-month fiscal year period. Excluded from the 10% limit are annual periodic increments, legislature-approved increases, movement of an employee's salary to the minimum of the band, and promotional increases. The Director of the Department of Personnel may grant exceptions to this 10% limit.

Additionally, salary changes greater than 5% proposed for any group of employees also require the approval of the Director of Personnel.

Promotions

Promotion is defined in WAC 356-56-115 (3) additional responsibilities resulting in a greater number of points assigned the same position, or movement to a different position with a higher point value. Adjustments in salary may be made to recognize the higher point value and may exceed 10%.

A promotional increase will typically range from 2.5% to 10% or to the band level minimum if the employee is changing to a higher management band.

It should be the goal of each agency to administer promotions fairly and consistently. Increases should occur as soon as possible after the employee is performing the new work. Some factors to keep in mind when determining the promotional salary increase include:

- The extent of point value increase from previous position or responsibilities.

- Change in management level (reporting relationship).

- Timing since last increase (promotion or other type adjustment, other than a general increase).

- Salary(ies) of peer group and/or similar positions.

- Salary limits of the position's band.

- Agency budget.

- The band level minimum and maximum.

Agencies using the above criteria may want to develop guidelines around the type of promotion as well.

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PROMOTION TIER APPROACH

Example:

Tier Type	Percentage Range of Promotion Adjustment
I Most Significant ▪ Manager to higher management reporting level ▪ Nonmanagement to manager ▪ Promotion into WMS ▪ Point value increase > 4 levels	9 - 15%
II Significant ▪ Manager to manager ▪ Point value increase > 2 and < 4 levels	6 - 12%
III Recognized ▪ In position point value increase ▪ Point value increase < 2 levels	2.5* - 8%

* In example, agency has established 2.5% or band max., whichever is less as promotion threshold.

Demotions

Per WAC 356-56-115 (5), an employee's salary cannot be reduced if a lower point value results from a reassignment of duties, unless the reassignment of duties was part of a disciplinary action or as agreed to by the employee (i.e., a voluntary demotion). Instead, the employee's salary is retained at its present level and frozen until the band maximum exceeds that salary and the agency acts to change it.

Demotions resulting from disciplinary action or voluntary demotion will cause a salary reduction which reflects the new assignment as well as the following considerations:

▪ The nature of the disciplinary action.

▪ The employee's current salary and peer relationships.

▪ The employee's new position, band level, and evaluated points.

▪ Longevity of employee overall and in previous position before demotion.

Periodic Increments or Step Increases

See page 4-10.

Movement to Band Minimum

Employees initially transitioned or later transferred into the WMS should be brought at least to the minimum salary of their band within one year of the transition. Employees promoted to a higher band must be brought to the band minimum at the time of promotion; this also applies to new hires.

Legislature-Approved Increases

Periodically, the Legislature approves a general increase amount that applies to all state employees, excepting typically those whose present salary is over the range maximum for their grade (general government) or band level (WMS). The language in the budget is used to determine how increases will be implemented.

Recruitment and/or Retention Adjustments

Recruitment and/or retention problems may warrant a salary adjustment. Documentation of the problem should be provided to the agency director or designee for this type of adjustment. Documentation should address both internal and external markets. Depending on market conditions, and average paid rate, the agency may typically adjust the salary by up to 10 percent. The unique nature of the position and its essential or critical impact on the organization are factors to consider in determining the amount of the adjustment. Managers should be cautioned about the potential "ripple effect" an exceptional salary adjustment may cause.

Salary adjustments to address recruitment and retention problems should be well documented and carefully considered so there is not a "chain reaction" of additional adjustments made necessary by the original action. Difficulty in recruiting or retaining an individual into a management position should not be the sole rationale for considering a salary adjustment. Additional factors to consider include:

- Effect of job vacancy or higher turnover on program performance, service continuity, client risk, or continuation of program funding.

- Duration of vacancy and outcome of advertising efforts.

- Allowance for specific location or relocation expenses required.

Supporting rationale might consist of a documented inability to attract qualified applicants at a specific salary or a significantly higher turnover rate than is experienced in the rest of the agency's workforce.

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> **Example: Setting salary for position with recruitment and retention problems:**
>
> *Position #7622 in Department QRX has become vacant. It is an acoustical engineering manager. The position manages a highly technical unit of professional engineers and scientists in the department.*
>
> *Two years ago when the position was last filled it was difficult to find a qualified manager. Not only does the position require some management skills and abilities, it also, by federal guidelines, requires certification as a registered acoustical engineer.*
>
> *Based on the documentation of the previous recruitment effort, a targeted recruitment effort was started, including a notice in regional and national professional journals.*
>
> *The position is in Band II, with a profile of B3X-586. The salary range for Band II is from $3,500 minimum to $5,375 maximum.*
>
> *The previous incumbent was paid $4,199 per month. Four peer positions, general engineer certified, are currently paid an average of $3,900 per month.*
>
> *After a two month recruitment and selection process, only three qualified candidates indicated interest.*
>
> ***Analysis:*** *Management knew it had to pay near the maximum to be able to hire a qualified candidate.*
>
> *After negotiations with the first candidate collapsed, the second candidate accepted the job at $4,600 per month. This was about 10% above the rate of the previous incumbent. It also left some room within the band range for growth and development adjustments.*

Salary Alignment Adjustments

Adjustments may be needed to alleviate internal salary alignment issues. Such adjustments should be appropriately documented and approved by the agency director or designee. The DOP analyst assigned to an agency and the staff of the state compensation office are available to provide assistance and consultation on internal and statewide salary alignment issues.

Some examples of alignment problems include inversion and severe compression, such as when an employee's salary is greater than or nearly the same as the supervisor's salary. No supervisory ratio (percentage of supervisor's salary over highest paid employee) is prescribed in the state's compensation plan, but a salary differential of 7.5% would normally be acceptable.

Progression Adjustments

These adjustments under the WMS are intended to be used by management for the following reasons:

Motivate and Recognize Professional Growth Development

- Obtain and utilize a job or career related degree, license, certification or professional designation.

- Broaden and/or add depth to current skills/knowledges that improve employee's ability to perform the work or increases productivity.

- Acquire and utilize new skills/knowledges that further enhance employee's ability and better prepare him/her for promotion and continued career growth.

- Broaden sphere of influence or increase one's role with management, customers, or constituents increasing personal effectiveness, credibility, sales, revenue, etc.

Reward Achievement of Specific Job Growth & Professional Development Objectives

- Specifically identified knowledges and/or skills required to enhance present job performance and/or promotion and career opportunities.

Recognize and Reward Ongoing Job Growth

- Learning and expertly applying required job skills, knowledges, etc. (climbing the job's learning curve).

Place Employee's Current Salary Within, or Closer to, Range of Consideration (ROC)

- Lower paid employees receiving significant promotions may result in salary placement below position's ROC. This may be appropriate for inexperienced employees or those new to WMS. There is **no** requirement to bring salary immediately to the ROC minimum. It can be done on a planned basis.

Progression adjustments are **not** intended to:

- Be used as an automatic or entitlement increase

- Be given as supplement to a general increase

- Act as a merit-based pay for performance increase

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- Be given as a reward for longevity

- Be used to correct internal equity or salary alignment problems

General guidance on the recommended amount of adjustment include:

- Individual increases up to 5%/year; 20% during tenure in position.

- Increases count against the 10% annual salary increase.

- The actual amount planned should consider...

    - ✓ Significance and/or value of objective(s) to individual or organization

    - ✓ Degree of difficulty of objective(s)

    - ✓ Relationship or position of employee's current salary to salary standard or band maximum

    - ✓ Amount and timing since last salary increase

    - ✓ Peer salary relationships

    - ✓ Budget and/or organization environment

- Generally, the more significant the objective(s) and the further the employee's salary is from the salary standard, the greater the planned increase percentage.

- The amount, up to 5%, and timing of adjustment may vary based on the circumstances of the employee's growth/development plan.

It is up to each agency to develop consistent, equitable criteria from these guidelines. Agencies should also consider the need for the level and type of documentation supporting decisions to grant, limit, or withhold growth and development adjustments.

It is recommended that a formal approach using the MDPP occur when:

- Specific objective(s), expected results, and status reviews are a critical aspect of the evaluation criteria

- Increasing job responsibilities require new/enhanced skills and/or knowledges

- The employee is near, at, or above the position's salary standard

- The employees are required to obtain extensive training and/or certification for their current job

Examples of an informal approach would be:

- Using a letter of understanding or accomplishing with the budget process may be more appropriate under these circumstances

- General growth/development is required over time to reach the salary standard, or

- Employee's current salary is below the range of consideration for their position, if one has been established.

Agencies should also consider the development of the incumbent overall, both prior to WMS and after. Incumbents who had already achieved step K prior to WMS and whose positions continue to do the same work may not "grow and develop" any further.

Example:

Bruce W. is hired as Personnel Manager in 1998, some four years after the WMS implementation.

Background information:

- *Bruce was a Personnel Officer I making $30,396 annually, $2,533 monthly, for another organization.*
- *He was hired in as Personnel Manager at a salary of $33,516 annually or $2,793 per month.*
- *He was placed in Band I, which has a salary range from $32,000 minimum to $52,000 maximum.*

The supervisor felt that they may want to provide some progression pay in this case. The following factors were considered:

1. *This was Bruce's first management level position.*
2. *He had no previous supervisory experience or management training.*
3. *The learning curve should be high.*
4. *The management core training program is available.*
5. *Bruce's productivity and contribution to the organization should increase dramatically during the first two years.*

The supervisor developed a two year training plan which was included in Bruce's Management Development and Performance Plan (MDPP). The development plan defined goals and expectations.

During the first two years, Bruce's performance was outstanding and his contributions to the organization developed rapidly.

Bruce received a 5% adjustment each year. (Total annual salary after two years = $36,951.)

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The third year Bruce received a 2.5% adjustment to reflect a decreasing learning curve. By this time Bruce was performing well and at management's top expectations.

The supervisor did not grant any further progression increases based on a number of considerations:

 – *Current salary compared to peer positions in the organization.*
 – *Average salary of similar personnel managers in other organizations.*
 – *Completion of most of the growth and development expected.*
 – *Tight budget constraints.*
 – *Market available for individuals in the profession.*

However, the supervisor was considering a lump sum recognition award because of Bruce's significant contribution to the organization's objectives.

■■■ Recognition Compensation

WAC 356-56-115(6) authorizes lump sum pay to individuals and/or teams in recognition of documented exceptional work performance and achievements. This recognition compensation does not become a permanent part of the employee's base salary.

Since this compensation is not part of the employee's base salary, the maximum salary limit of the band **does not** apply to such lump sum payments. However, lump sum payments **do** count towards the 10 percent annual limit on salary adjustments.

Significant accomplishments often involve the efforts of many employees. The use of recognition compensation to motivate and reward team efforts is highly encouraged. The following are some thoughts to keep in mind when establishing and implementing team-based awards:

- Define the types of teams involved.

- Involve managers and WMS employees in design and implementation.

- Emphasize objective benchmarks for performance measures such as financials, timeliness, and milestones.

- Measure performance on a team basis.

- Target cash awards as part of total compensation.

- Distribution of awards should not require approval of each team member's manager.

Following these ideas will increase the effectiveness of the awards process. Attachment 4-G provides an example of a team-based award writeup.

For more information on team-based pay, call the state compensation office in the Department of Personnel for assistance.

Recognition Criteria

Lump sum recognition pay is meant to acknowledge exceptional performance results, and/or achievements above and beyond the normal accomplishment expectations of the position.

Types of performance that might be recognized in this way include:

- Exceptionally high level of performance or achievement over the course of a year or a highly intense project period.

- Performance which results in significant enhancement of client services, agency products, or mission.

- Contributions which result in substantial cost savings to the agency or increased revenues for the state.

- Exceptional effort and/or demonstrated efficiencies that lead to significant productivity improvements and/or measurable increases in the organization's output.

- Development of a technical advancement or operational breakthrough which results in greater efficiency, increased productivity, staff reduction, and/or cost savings.

Agencies may choose to use some or all of the above criteria, or they may develop their own criteria that best fits their requirements.

> **Example:** *Joe M. was assigned a major project with the expectation that it would be completed in six months. This expectation was documented in Joe's MDPP, along with an understanding that Joe would be considered for a recognition payment if he was able to complete the project in less than five months. Through exceptional effort, Joe was able to successfully complete the project in four months. As agreed, the supervisor nominated Joe for a lump sum recognition award, following guidelines set forth in the agency's recognition pay plan. Joe's nomination was considered along with several others, and he was awarded a lump sum payment of $500. [Note that if Joe had completed the project successfully within the six months as originally planned, this would have been considered part of his expected work performance, and he would not have received a lump sum recognition award.]*

Agency Recognition Compensation Plan

Each agency providing lump sum recognition pay to its employees should have a formal recognition pay plan in place. Following are descriptions of the recommended components of this plan:

A. **Overall goal of the recognition plan and how it relates to the agency mission**

    This is a simple two to three sentence statement that provides the overall framework (what, who, why) of the recognition plan and its relationship to the agency mission. An agency, over time, may have several different kinds of plans and their basic difference and intent should be discernible from reading this statement.

B. **Description, expectations, timing, and intent**

    This section provides more specific detail of what the plan features are. The important thing to remember is that the plan should be administered per its description. This makes the trade-off between too little and

too much information an important consideration when developing the plan guidelines.

One timing factor to consider is a possible limit on how many times an employee may be considered for an award during a given time period. For example, maybe an employee would be eligible for nomination only once during any 12-month period.

Another important timing factor is the expected interval between recognition, achievement and reward. Some agencies, because of funding or other limitations, may need to delay awards until near the end of their fiscal year. In these cases there may be delays between acknowledgment and award. One possible approach would be to promptly acknowledge the achievement and also make the employee aware of their nomination for an award, with an understanding that the actual determination and/ or payment of the award will not occur until a specified later date. The 12-month period for award eligibility should occur from the date of acknowledgment and not actual payment to help assure that the 12-month eligibility period timing and actual award presentation does not become an issue.

Another timing issue is whether the terms of the recognition awards will be agreed to in advance or decided after the accomplishment. For example, an agency may decide to establish expectations at the beginning of a project or review period as to what level of performance or achievement would qualify for recognition compensation. This approach is particularly effective with team awards and on projects where the end objectives (achievement, timing, cost, etc.) are clear and understood by the employee(s) and management at the beginning of the project or task.

C. **Eligibility criteria**

This area can be troublesome if not well defined. Full-time/part-time, payroll status, and WMS status should all be taken into account. For instance, how will the plan address a situation in which an employee is recognized for an award but changes status (e.g., terminates or moves to exempt or general service) before the lump sum payment is made?

The plan must be very specific in this area to avoid having to pay employees when it was not intended to do so. Most plans include permanent part-time employees but have a proviso that the employee be in the appropriate status (WMS) to receive the award. This feature supports the philosophy that recognition pay is not an entitlement, particularly in the case of an employee who terminates (for reasons other than retirement). The more open the eligibility criteria, typically, the greater the cost.

Chapter 4: Classification and Compensation

D. **Award criteria**

This is another area where it's important to be specific. Recognition plans can adopt all, some, or none of the criteria examples listed on page 4-31, depending on each agency's need. The criteria should align with the stated intent of the plan and be relevant to the agency's business environment. The five that are listed as examples were written to be relevant to any agency. If multiple plans are developed, be careful that each has its own distinct criteria to avoid confusion regarding which plan an employee's performance/achievements are being measured against.

The most important factors in the development of award criteria are:

- Relevance to the agency's business environment.

- Simplicity.

- Reasonably—but not easily—achievable.

- Value added; value gained to the agency.

  Recognition pay is not to be used to simply differentiate levels of performance (merit pay). There must be a demonstrated benefit to the agency beyond the **expected** level of performance.

- Ability to be identified and utilized consistently within the sponsoring agency or division.

E. **Award amounts, limits, and/or methods for dividing available dollars among eligible recipients**

This is a very sensitive part of the overall plan. Both the range of available dollars and the specific amount awarded need to be simple enough so that management and employees will understand why a certain amount was given and to reasonably assure consistency and relevance of achievement to dollars awarded. It is also important that, within reason, agencies are consistent in both the range and awarded dollars.

One suggested approach is to provide an award range from $200 – $500, with guidance as to what level or type of achievement, for example, justifies a $200 or $300 or $500 award amount. Award amounts should vary by recognizable differences in achievement level to strengthen the notion of "recognition" over merit for all. Also, award ranges and thus amounts may vary by the type of recognition plan and the award criteria difficulty.

Award amounts and ranges should be expressed and given in total dollar amounts, not percentage of pay. The award amount given should reflect the actual achievement and be consistent as opposed to being a factor of

an employee's base salary. Percentage payouts make plan consistency very difficult and, studies show, have lower acceptability among recipients. It is best to be conservative going in to plan design because it is far easier to increase award ranges and amounts than to reduce them.

F.   Approval process.

Approvals should include at least one management level above the sponsoring manager/supervisor and should include the agency director if the award bears the director's title.

G.   Funding considerations and plan

Agencies will not receive additional monies to provide for lump sum recognition payments. To have money available, agencies will need to look at options such as holding positions vacant for a period of time to generate savings or filling WMS positions at a lower level when a position becomes vacant. A portion of these savings, as set forth in agency policy, may then be used for recognition compensation.

Savings generated in this way should not be wholly set aside for recognition payments. Agencies should establish a policy of using only a certain percentage of such savings in this way. The determination of an appropriate amount will depend on the size of the agency and the number of positions included in the Washington Management Service. Smaller agencies, with fewer WMS positions that seldom turn over, will likely establish the percentage at a higher amount, perhaps 75%–90%. Larger agencies, with more WMS positions which turn over with some frequency, will want to be more conservative, perhaps 30%–50%. The number of plans should also be considered. Agency budget staff should be consulted in determining the percentage to be made available for recognition payments.

DOP Assistance Available

The Department of Personnel compensation office is available to assist agencies with writing their recognition plan or to provide consultation on specific aspects of developing or administering the plan. The involvement of the Compensation staff from DOP will provide an objective outside opinion of the agency's plan.

■■■ WMS Salary Structure and Surveying

The WMS salary structure for each band is defined by the minimum, midpoint, and maximum salaries. The initial structure (page 4-3) is largely a reflection of the state's current pay ranges, with accommodation for wider ranges and actual placement of evaluated positions. Through salary survey recommendations, over time, the structure is intended to better reflect the competitive market and prevailing rates for WMS positions and have a higher correlation of evaluated points to salary. In every even numbered year DOP, with agency assistance, will conduct a survey using well-defined management positions as benchmarks. The participant population will be drawn from large and medium size companies that employ and compete for the types of positions included in the WMS. When required, out-of-state employers—primarily other states—may also be included. Pay practices such as pay structure changes, salary increase budgets, variable pay (e.g., recognition pay), etc. may also be surveyed.

Ad-hoc or special surveys may be required from time to time to help establish the pay for new and/or unique positions or those where significant recruitment/retention problems exist. Agencies are encouraged to identify their competitors to allow the DOP state compensation office to more rapidly focus in on their rates of pay.

■■■ Salary Administration Management

With the increased flexibility of changing salaries of WMS employees comes the added and critically important responsibility of managing these changes to help assure they are needed and accountable. It is recommended that agencies, through their personnel offices, establish periodic reviews of actions taken and current practices to confirm their compliance with WMS rules and agency guidelines.

Some recommended areas of focus and examples would include:

Management of Average Salary Rate and Band Level

- Year to year overall WMS payroll

- By band, evaluated points, division

- Average band level; compare year to year overall agency and division

Overview and Analysis of Agency Overall and Individual Salary Adjustments

- Develop chart with gender and ethnic representation matrixed by salary adjustment type(s) and amount. Pay particular attention to promotions, progression increases and general salary adjustments.

Compensation Policy Review

- Policies or guidelines in place and well communicated

- Practices are consistent with policies

- At least an annual review

■ Communications

Simple, direct and timely communications will greatly aid in employees' **understanding** of WMS rules, guidelines and policies. Simply receiving information, even if it is timely, doesn't necessarily aid in understanding what is viewed as detailed material.

Agencies should develop an ongoing approach to communicating WMS information. This will greatly aid in achieving improved understanding by WMS employees and increase the program's credibility. DOP is available to assist agencies with their communications needs.

Since most types of salary adjustments in the WMS require several levels of management approval, it is not appropriate to infer or guarantee (to the employee) that a salary adjustment will occur until **all** approvals are obtained.

WASHINGTON MANAGEMENT SERVICE
MANAGEMENT POSITION DESCRIPTION

CURRENT DATE/LAST REVIEWED: _____

CLASS TITLE: _____
(Information needed for the initial conversion only.)

WORKING TITLE: _____

POSITION NO.: _____   *AGENCY/DIVISION:* _____

INCUMBENT'S NAME: _____

POSITION OBJECTIVE:

Discuss in one or two sentences what the position is required to accomplish. Include an organization chart. (Chart should include all units managed by your supervisor with salary grade/ band and position number.)

KNOWLEDGE AND SKILLS REQUIRED:

Briefly explain the position's required knowledges and skills. (Asterisk the essential skills and abilities required.)

NATURE AND SCOPE:

Briefly explain position's policy impact (application, development, implementation responsibility).

Briefly explain the major decision-making responsibilities brought to you for action. Also identify those actions that you take to your manager for a decision.

FINANCIAL DIMENSIONS:

—BUDGET

Briefly describe the type and annual amount of all monies that the position directly controls. Discuss other revenue sources managed by the position and what type of influence/impact it has over those sources.

A. Operating budget controlled:

B. Other financial influences/impact:

—POSITIONS

List total FTE's you manage and highest class/position managed.

PRINCIPAL RESPONSIBILITIES:

Briefly describe the significant responsibilities of this position (maximum of 10 statements) not including the management responsibility statement* that is provided.

* Plan, lead, organize, and control the work performed by the organization. Assure appropriate and optimum use of the organization's resources and enhance the effectiveness of employees through timely appraisal and professional development opportunities. Support effective communications throughout the organization. Maintain the highest standards of personal/ professional and ethical conduct and support the State's goals for a diverse workforce.

_____   _____
Signature of Incumbent   Management Signature

Telephone No.: _____   Title: _____

EVALUATED POINTS/BAND LEVEL: _____
(To be filled out by Human Resource Unit)

WASHINGTON MANAGEMENT SERVICE
MANAGEMENT POSITION DESCRIPTION

CURRENT DATE/LAST REVIEWED: February 3, 1994

CLASS TITLE: Personnel Manager 3
(Information needed for the initial conversion only.)

WORKING TITLE: Personnel Manager

POSITION NO.: 140-1246   *AGENCY/DIVISION:* Taxes/Fin. & Support Services

INCUMBENT'S NAME: D. James

POSITION OBJECTIVE:

Discuss in one or two sentences what the position is required to accomplish. Include an organization chart. (Chart should include all units managed by your supervisor with salary grade/band and position number.)

> Administer the human resource program for the agency by providing a highly trained, skilled and motivated staff to conduct the technical and service delivery requirements of the organization. Manage the building facility and associated needs of the Personnel unit.

KNOWLEDGE AND SKILLS REQUIRED:

Briefly explain the position's required knowledges and skills. (Asterisk the essential skills and abilities required.)

> The position requires a working knowledge of management principles*, communication techniques, budget management, cost benefit analysis, training needs assessment, personnel rules and regulations, affirmative action and diversity regulations, principles of personnel administration*, and skill in human resource management, staff supervision, motivating, mentoring, negotiating skill in union/management meetings, etc.

NATURE AND SCOPE:

Briefly explain position's policy impact (application, development, implementation responsibility).

> I establish policy for the implementation of various WACs and rules established by the agency director, Department of Personnel or the Personnel Resources Board, OFM, and other state and federal organizations. I recommend agency policy to the executive team in the human resource area. I am

```
responsible for developing plans and for the implementation of
new programs like the WMS, etc. I develop procedures to
implement WACs and other H.R. regulations.
```

Briefly explain the major decision-making responsibilities brought to you for action. Also identify those actions that you take to your manager for a decision.

```
Major decision-making responsibilities brought to you:
     - budgeting and expenditure approvals for the unit
     - supervisory evaluation and training needs
     - priority questions about utilization of staff and
       facilities/resources (priority setting)
     - advice or direction on proposed classification studies
     - provide direction for scope and frequency of recruitment
       efforts
     - establish work priorities and time frames for the unit
     - hiring of clerical and technical H.R. staff

Major actions taken to superior for approval:
     - proposed unit budget request and shift in dollars
     - recommendations for changes to H.R. rules and regulations
     - cross divisional class/comp. studies (priority)
     - hiring of supervisory H.R. staff
     - shift in program dollars
     - recommendations on reductions within the H.R. unit
     - recommended training levels for programs or divisions
```

FINANCIAL DIMENSIONS:

—BUDGET

Briefly describe the type and annual amount of all monies that the position directly controls. Discuss other revenue sources managed by the position and what type of influence/impact it has over those sources.

A. Operating budget controlled:

```
Plans and manages the Department of Taxes human resource
program serving the public and 900 agency employees.
Develops and administers a biennial budget in excess of
$1 million. Serves as building manager for 5,000 sq. ft.
employee services facility.
```

B. Other financial influences/impact:

```
Indirect influence over agency employees for training not
counted in unit budget.
```

—POSITIONS

List total FTEs you manage and highest class/position managed.

```
Eleven (11) full-time FTEs (Personnel Officer 4 at range 54,
highest subordinate). (See attached organizational chart.)
```

PRINCIPAL RESPONSIBILITIES:

Briefly describe the significant responsibilities of this position (maximum of 10 statements) not including the management responsibility statement* that is provided.

* Plan, lead, organize, and control the work performed by the organization. Assure appropriate and optimum use of the organization's resources and enhance the effectiveness of employees through timely appraisal and professional development opportunities. Support effective communications throughout the organization. Maintain the highest standards of personal/ professional and ethical conduct and support the State's goals for a diverse workforce.

   a) Chief agency representative to the Department of Personnel, State Personnel Resources Board, Personnel Appeals Board, Office of Administrative Hearings, labor organizations, other governmental agencies, private industry, and the public for matters dealing with the establishment, retention, productivity, wellness, and termination of positions and employees within the department's workforce.

   b) Serves as chief negotiator during collective bargaining contract negotiations. Provides counsel to and represents the department management at hearings and meetings pertaining to grievances, disciplinary actions, civil rights violations/investigations, position classification and pay, unemployment compensation, and industrial insurance claims.

   c) Directs and reviews agency-wide position classification studies; reviews proposed class specifications and their revisions. Provides counsel to executive management during agency-wide or divisional reorganization efforts; gives affect to resulting position and personnel actions.

   d) Plans and directs the department's recruitment, testing, and placement of new and current employees. Establishes and maintains contact with college and university placement officials, faculty, student professional organizations, organizations representing ethnic minority and other protected groups.

_____   _____
         Signature of Incumbent   Management Signature

Telephone No.: _____   Title: _____

EVALUATED POINTS/BAND LEVEL: _____
(To be filled out by Human Resource Unit)

```
responsible for developing plans and for the implementation of
new programs like the WMS, etc. I develop procedures to
implement WACs and other H.R. regulations.
```

Briefly explain the major decision-making responsibilities brought to you for action. Also identify those actions that you take to your manager for a decision.

```
Major decision-making responsibilities brought to you:
    - budgeting and expenditure approvals for the unit
    - supervisory evaluation and training needs
    - priority questions about utilization of staff and
      facilities/resources (priority setting)
    - advice or direction on proposed classification studies
    - provide direction for scope and frequency of recruitment
      efforts
    - establish work priorities and time frames for the unit
    - hiring of clerical and technical H.R. staff

Major actions taken to superior for approval:
    - proposed unit budget request and shift in dollars
    - recommendations for changes to H.R. rules and regulations
    - cross divisional class/comp. studies (priority)
    - hiring of supervisory H.R. staff
    - shift in program dollars
    - recommendations on reductions within the H.R. unit
    - recommended training levels for programs or divisions
```

FINANCIAL DIMENSIONS:

—BUDGET

Briefly describe the type and annual amount of all monies that the position directly controls. Discuss other revenue sources managed by the position and what type of influence/impact it has over those sources.

A. Operating budget controlled:

```
Plans and manages the Department of Taxes human resource
program serving the public and 900 agency employees.
Develops and administers a biennial budget in excess of
$1 million. Serves as building manager for 5,000 sq. ft.
employee services facility.
```

B. Other financial influences/impact:

```
Indirect influence over agency employees for training not
counted in unit budget.
```

—POSITIONS

List total FTEs you manage and highest class/position managed.

```
Eleven (11) full-time FTEs (Personnel Officer 4 at range 54,
highest subordinate). (See attached organizational chart.)
```

PRINCIPAL RESPONSIBILITIES:

Briefly describe the significant responsibilities of this position (maximum of 10 statements) not including the management responsibility statement* that is provided.

* Plan, lead, organize, and control the work performed by the organization. Assure appropriate and optimum use of the organization's resources and enhance the effectiveness of employees through timely appraisal and professional development opportunities. Support effective communications throughout the organization. Maintain the highest standards of personal/ professional and ethical conduct and support the State's goals for a diverse workforce.

a) Chief agency representative to the Department of Personnel, State Personnel Resources Board, Personnel Appeals Board, Office of Administrative Hearings, labor organizations, other governmental agencies, private industry, and the public for matters dealing with the establishment, retention, productivity, wellness, and termination of positions and employees within the department's workforce.

b) Serves as chief negotiator during collective bargaining contract negotiations. Provides counsel to and represents the department management at hearings and meetings pertaining to grievances, disciplinary actions, civil rights violations/investigations, position classification and pay, unemployment compensation, and industrial insurance claims.

c) Directs and reviews agency-wide position classification studies; reviews proposed class specifications and their revisions. Provides counsel to executive management during agency-wide or divisional reorganization efforts; gives affect to resulting position and personnel actions.

d) Plans and directs the department's recruitment, testing, and placement of new and current employees. Establishes and maintains contact with college and university placement officials, faculty, student professional organizations, organizations representing ethnic minority and other protected groups.

_____   _____
Signature of Incumbent   Management Signature

Telephone No.: _____   Title: _____

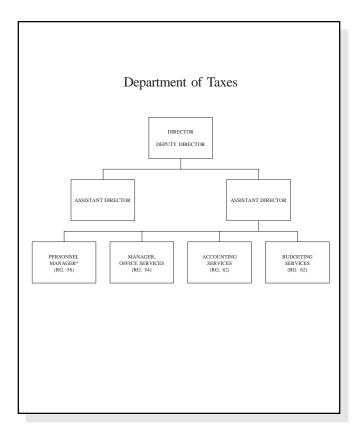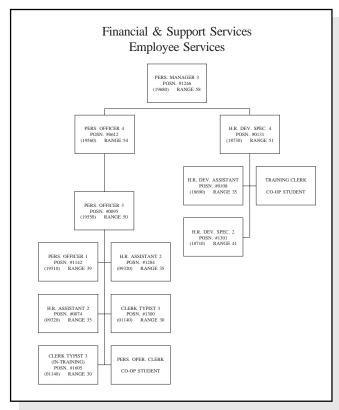*EVALUATED POINTS/BAND LEVEL:* _____
(To be filled out by Human Resource Unit)

Department of Taxes

```
                    ┌─────────────────┐
                    │    DIRECTOR     │
                    │ DEPUTY DIRECTOR │
                    └────────┬────────┘
              ┌──────────────┴──────────────┐
     ┌────────────────┐            ┌────────────────┐
     │ ASSISTANT      │            │ ASSISTANT      │
     │ DIRECTOR       │            │ DIRECTOR       │
     └────────────────┘            └────────────────┘
```

| PERSONNEL MANAGER* (RG. 58) | MANAGER, OFFICE SERVICES (RG. 54) | ACCOUNTING SERVICES (RG. 62) | BUDGETING SERVICES (RG. 62) |

Figure 4.4
Organization Charts for Sample Position Description

Financial & Support Services
Employee Services

PERS. MANAGER 3
POSN. #1246
(19680)   RANGE 58

PERS. OFFICER 4	H.R. DEV. SPEC. 4
POSN. #0612	POSN. #0131
(19560) RANGE 54	(18730) RANGE 51

H.R. DEV. ASSISTANT	TRAINING CLERK
POSN. #0108	
(18690) RANGE 35	CO-OP STUDENT

PERS. OFFICER 3	H.R. DEV. SPEC. 2
POSN. #0095	POSN. #1301
(19550) RANGE 50	(18710) RANGE 41

PERS. OFFICER 1	H.R. ASSISTANT 2
POSN. #1142	POSN. #1284
(19510) RANGE 39	(09320) RANGE 35

H.R. ASSISTANT 2	CLERK TYPIST 3
POSN. #0074	POSN. #1300
(09320) RANGE 35	(01140) RANGE 30

CLERK TYPIST 3 (IN-TRAINING)	PERS. OPER. CLERK
POSN. #1605	
(01140) RANGE 30	CO-OP STUDENT

Examples of Major Areas on Position Description

Position Objective

    a.   Administer the human resource program for the agency of 1000 employees. Provide highly trained, skilled, and motivated staff to line managers to conduct technical financial and service delivery for their client businesses and the public.

    b.   Manage staff of professional accountants for the department to ensure the reimbursement, revenues, and expenditures are properly accounted (both federal and state) and that the agency's financial records are accurate and financial and management reports are prepared timely.

Knowledge and Skills Required

    a.   Knowledge of: principles of management, staff development and training, civil service system and related WAC, state and federal laws on affirmative action, equal opportunity, family leave, ADA, FLSA, and principles of personnel administration.

        Skills to: communicate effectively; coach, mentor, and train staff and department workforce; conduct labor-management negotiations; public speaking; long-range planning; and effective decision making.

Nature and Scope: (This category is intended to identify the type and level of policy activity in which you are engaged)

    a.   Recommend policies to the executive team in the areas of staff training, tuition reimbursement, recruitment and diversity, etc. Implement state and federal statutes; Department of Personnel and the Personnel Resources Board policies on position classification and compensation, affirmative action, labor relations, and grievance procedures. Develop division policy for work load coverage, vacation, recruitment, and promotions.

Financial Dimensions: (Describe the annual monies in your direct control; secondly, any indirect influences or impact).

    a.   Manage annual operating budget of $600,000. This is for staff salaries and benefits, goods and services, etc. Besides my 12 FTE's, I influence the expenditure of $500,000 staff training budget with the respective assistant directors.

Principal Responsibilities: (List a few key or primary task statements)

Attachment 4-D: Managerial Job Value Assessment Chart

WASHINGTON MANAGEMENT SERVICE

JOB VALUE ASSESSMENT CHART

DECISION-MAKING ENVIRONMENT AND POLICY IMPACT →

(1) NATURE OF MANAGEMENT	1. Judgements and decisions are guided by familiar and reliable policies and established guidelines and management imposed limits. Thinking within defined rules/ regulations and procedures. Develops and prioritizes tasks within specific work unit. Impact generally limited to interpretation/application of clearly defined regulations. SCOPE				2. Judgements and decisions are primarily tactical, guided by general policies and guidelines having significant diversity/complexity relative to outcomes and considerations. Thinking within broadly outlined and complex regulations for application of service delivery or program operations. SCOPE				3. Judgements and decisions require consideration of both tactical and strategic outcomes. Interpret and implement broad departmental policy for developing program guidelines and procedures. SCOPE				4. Thinking environment requires strategic judgements/decisions where there are generally few prescribed or established approaches (balancing competing demands/priorities for resources.) Develops policy for major programs or organizational groups. SCOPE				5. Strategic and creative thinking having longer-term impact. Develops policy having broad organization-wide application for design and delivery of programs and services affecting a substantial segment of citizens or government. SCOPE				6. Strategic and visionary thinking having long-term statewide application and impact. Develops and implements policy critical to the central business purpose of the State. SCOPE			
	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z	W	X	Y	Z
A. Fundamental application of management principles. A unit or program, having focused scope, with individual contributors and/or first-line supervisors. Leading/controlling. Emphasis on tactical thinking and people issues. OR, practitioner of recognized discipline having management accountability.	422	442	486		432	452	504		444	464	516													
B. Full utilization of management principles. Tactical planning and responses, some strategic thinking and action. A unit, multiple programs or functional activities. Typically directs supervisors and/or professional practioners. Focused on goals/ objectives. OR, advanced practitioner requiring a high level of knowledge in a discipline and overseeing a professional staff.	494	512	584		546	570	598		562	586	614		580	604	692									
C. Application of advanced management principles and skills. Planning and management primarily strategic. Functional area or diverse organizational unit. Typically directs/integrates work of managers and supervisors. Management of or mastery of a recognized discipline involving direction of complex technical/advanced skilled professionals.					630	704	796		748	768	848		776	800	888	1016	808	828	948	1068				
D. Sophisticated application of advanced management principles/skills. Strategic focus; highly experienced. A large unit in large agency, major policy impacts at agency and/or statewide level. Management of managers and senior policy professionals. In smaller organizations fewer staff, but the most critical policy impact.													976	1012	1100		1048	1136	1256				1232	1368
E. It is displayed to provide a reference point. Expert applications of advanced management principles; directions are diverse and complex organizations with critical statewide impact on citizens and government. Highest level of administration and directorship positions.																								

(2) ← SCOPE OF MANAGEMENT ACCOUNTABILITY AND CONTROL →

(3) ← SCOPE OF MANAGEMENT ACCOUNTABILITY AND CONTROL →

CONSIDER:
Authority to take action.
Area(s) of effect.
Nature of effect.

W: Control or influence of limited resources
X: Control of substantial programs or resources; or influence on major policies or services.
Y: Control of major resources; or critical influence on a large organization or public policy.
Z: Control of complex entity.

6/7/94–R

Department of ABC
Washington Management Service
Director's Award

Program Objective

The Director's Award Program has been established for use throughout the Department of ABC and is designed to provide meaningful single compensation awards to Washington Management Service employees in recognition of truly outstanding achievements. It is the overall objective of this program to recognize extraordinary employee effort(s) in an appropriate, consistent, and expeditious manner. Employee recognition is an important motivational tool and a key element in sustaining a process of continuous service improvement to our clients.

Program Description

The Director's Award Program provides single lump-sum awards (not added to base salary) to individuals or teams in recognition of truly extraordinary performance/achievement that goes well beyond what is expected or required. Many controllable and uncontrollable circumstances may affect the program and our agency's ability to administer it consistently. Therefore, no policy or guidelines statement should be interpreted as implying that recognition awards are an entitlement even when recognition has occurred. Program guidelines provide the content and policy and procedure for its implementation and administration.

General Guidelines

1.0   Eligibility Criteria

    1.1   All WMS employees may be considered for the Director's Award.

    1.2   Individual and team awards may be granted. (Applicable taxes will be withheld.)

    1.3   Generally, no more than one award (two if one is individual-based and one is team-based) may be granted in any 12-month period.

    1.4   Employees must have permanent status and be on the payroll effective the date of the receipt of the award.

2.0 Award Criteria

- Exceptionally high level of performance or achievement over the course of a year or a highly intense project period.
- Performance which results in significant enhancement of client services or agency products.
- Contributions which result in substantial cost savings to the agency or increased revenues for the state.
- Exceptional effort and/or demonstrated efficiencies that lead to significant productivity improvements and/or measurable increases in the organization's output.
- Development of a technical advancement or operational breakthrough which results in greater efficiency, increased productivity, staff reduction, and/or cost savings.

3.0 Award Amount(s)

3.1 Director's Awards shall be single lump-sum amounts (minus appropriate taxes) ranging from $250-$500. The actual award amount, in $50 increments, shall be based on the following factors:

- Nature and scope of achievement/performance
- Amount of quantifiable savings, cost avoidances, increased revenue, if applicable
- Number of awards agency is giving, e.g., individual or team
- Consistency with other awards given
- Agency budget circumstances

3.2 Every attempt should be made to apply the award criteria and amount as consistently as possible within the above factors. Deviations must be well documented and approved by the agency director or designee.

3.3 The Director's Award shall not be substituted for or affect an employee's eligibility for any other form of compensation, e.g., general increase, recruitment/retention.

3.4 A certificate shall accompany each award.

4.0 Documentation

4.1 Director's Awards (individual or team) shall be documented using Form #XX for individual awards and #XY for team awards.

4.2   Documentation must be approved prior to award recognition.

4.3   A year-end report of all Director's Award activity shall be compiled by the personnel office and distributed to management for their information. The report shall include, but not be limited to, participant's name, criteria type, award amount, when given, etc.

5.0   Approval/Presentation Process

5.1   Director's Awards require the approval of the employee's management up to and including the agency director. Designees may be authorized as appropriate.

5.2   Award presentations, as appropriate, will be made by the agency director and employee's manager at the employee's workplace.

5.3   Awards are presented in a separate check to the employee.

6.0   Funding Consideration

6.1   The Director's Award Program is criteria, not budget, driven but all awards must come from the recognizing division's budget for salaries or the director's fund of money set aside to provide for awards when a division is unable to do so. Such requests must be in writing regarding rationale and accompany the requisition award documentation.

6.2   Unspent funds do not carry over into the next biennium.

Department of XYZ
Director's Award Nomination
(Individual Award)

Employee Name: John Doe   Social Security #: 999-99-9999

Division: Emergency Response

Job Title: Manager of Emergency Preparedness

Suggested Award Amount: $500.00

Date: 1/22/94

Justification:

Completely revamped the state's emergency preparedness and
response program, making significant improvements in:
- The system's telecommunications and computing
  requirements.
- Strengthening integration with city and county systems
  throughout the state.
- Acquisition of federal grant monies ($150,000) to
  upgrade software and hardware, improving reliability
  and response.
- Reorganization of state responsibility: streamlined
  system communications, reduced required head count by
  15%, and improved off-duty scheduling requirements.

Approvals:

_____	_____	_____	_____
Immediate Manager	Date	Division Manager	Date

_____	_____	_____	_____
Human Resources Manager	Date	Agency Director	Date

Director's Recognition Award

Awarded to

John Doe

In recognition of your extraordinary performance and achievement associated with accomplishment of key agency business mission goals.

Thank you for your commitment to excellence and continuous improvement.

Member of Management	*Member of Management*
Agency Director/Head	*Date*

Figure 4.5 Sample Recognition Award Certificate

Director's Award Nomination
(Team Award)

EMPLOYEE NAMES/SSN'S:
(PLEASE LIST DIVISION AND TITLE)

AMOUNT: $2,400 (6 award recommendations)

DATE:

Project/Task Description:

The scope of this project was to develop a comprehensive environmental plan for the siting, regulation and audit of class I (fruit and meat) irradiation facilities in the state of Washington. This project involved the efforts of a six-member senior project management team from our agency. The agency's project lead formed a close working alliance with the U.S. Department of Energy, the Nuclear Regulatory Commission, and several other involved federal and state agencies.

The primary tasks of this team included:

- The development of a comprehensive and well integrated environmental plan for irradiation facilities to be privately owned/operated but regulated by the state.
- Assure legislative and congressional support for plan.
- Development of general site selection criteria (regional/community input).
- Development/integration of federal/state/county licensing requirements and process.
- Development of a statewide awareness plan.
- Development of an irradiated products plan (Irradiation - Customer Delivery).

Performance Targets:

- Comprehensive, well integrated environmental plan that balances the interests of all legitimate parties by (date).
- Secure legislative and regional congressional support through development and passage of necessary state legislation to enact regulations.

- Work effectively with all federal/state/county/city entities and their constituencies in plan development and general site selection criteria.
- Assure effective communications with state citizens and media on plan development and siting criteria.

Award Justification: Be Specific

- The project team successfully completed a difficult and highly technical draft environmental plan two months ahead of schedule enabling enough time (four months compared to two months) for substantive public comment. Comments were integrated into the final plan and were a factor in its successful passage by the Legislature. State legislative support was a key factor in regional legislative and congressional support required for the actual construction/operation of the facilities.
- Communications with state citizens and media were more comprehensive than planned yet coverage was exceptional due to effective presentation development, extraordinary commitment of project team members, and overall project organization.

Approvals:

Immediate Manager/Supervisor	Date
Assistant Director	Date
Human Resources Manager	Date
Director	Date

Chapter 5: Recruitment, Selection, and Employee Movement

Chapter Contents

■ Introduction

The statute creating the Washington Management Service (RCW 41.06.500) significantly alters the traditional hiring policies for civil service managers. It calls for the establishment of:

> *"...flexible recruitment and hiring procedures that enable agencies to compete effectively with other employers, both public and private, for managers with appropriate skills and training; allowing consideration of all qualified candidates for positions as managers; and achieving affirmative action goals and diversity in the work place."*

WAC 356-56 provides a general framework for recruitment, selection, and employee movement in the Washington Management Service. In addition, each agency will need to develop policies and procedures that will address their particular needs.

WAC 356-56-200 (1) states that:

> *"Policies and procedures for recruitment and selection will be inherently flexible, permitting methods and strategies to be varied and customized for each recruitment and selection need. In all aspects of recruitment and selection, no agency policy or procedure shall be negotiated or agreed to if it will reduce the agency's flexibility and discretion in filling a position or moving an employee..."*

This rule is intended to ensure that agencies gain the full benefits embodied in the Washington Management Service, and to avoid putting agencies in positions of negotiating away their rights to flexibility.

The guidelines in this chapter are intended to facilitate development of those agency specific policies and procedures, and to provide useful information to support agencies in meeting their recruitment and selection needs.

For further information and assistance regarding recruitment, selection, and employee movement in the WMS, contact:

> Personnel Services Division
> Department of Personnel
> 521 Capitol Way South
> Olympia, WA 98504-7500
> (360) 586-2366

Chapter 5: Recruitment, Selection, and Employee Movement

◼◼ Roles and Responsibilities

Direction for the decentralization of recruitment and selection activities is both in the law establishing the Washington Management Service and in the WAC 356-56-200 providing a general framework for recruitment and selection. At the same time, the Department of Personnel will continue to provide support to agencies. The general roles of the various affected parties include:

Department of Personnel

- Provide consultation, guidance, and technical assistance to support agencies in determining the best methods for meeting particular recruitment and selection needs.

- Upon agency request, provide a listing of potential applicants from those who have registered with the WMS Job Information Clearinghouse.

- Provide information to applicants on WMS openings that agencies choose to list with the Department of Personnel.

State Agencies

- Develop policies and procedures for recruitment and selection for their WMS positions.

- Develop and administer recruitment plans and selection tools for filling WMS positions.

- Respond to information requests from applicants. Support career development for employees who may promote into WMS positions.

- Develop and meet goals and objectives for affirmative action and workforce diversity.

- Maintain records on applicant flow, appointments, and employee movement.

Individual WMS Managers

- Seek out opportunities for career advancement.

- Determine what knowledge, skills, and abilities are needed for advancement.

- Work out career development plan with supervisor.

- Make interests known to hiring supervisors.

■■■ Developing Agency Policies on Employee Movement

This section provides guidance on the development of internal agency policies and procedures regarding employee movement and Washington Management Service positions. This is neither a mandatory nor an exhaustive list. Some agencies will need more policies and procedures; others less.

As each agency begins developing its WMS recruitment and selection policies, it is important to keep several concepts in mind:

- Agency procedures should be broad to promote a maximum amount of flexibility to serve particular client, employee, and organizational needs.

- Policies should be written to facilitate administration of WMS within each particular agency.

- Policies and procedures for employee movement should permit methods or strategies customized around each recruitment and selection need.

- Agencies should not be encumbered by preset, inflexible procedures of an absolute nature.

- It is not necessary, nor desirable, to replicate Merit System Rules or other traditional personnel procedures.

- Flexibility, as intended by the Legislature, should not be compromised.

In all areas of recruitment and selection, policies and procedures should allow discretion with regard to each recruitment and selection action.

The following pages cover some topics agencies may wish to cover in internal policies and procedures. Key principles to consider when developing these policies and procedures include:

- Selection of the best person

- Enhancement of workforce diversity

- Cost effectiveness of recruitment and selection procedures

- Fairness in procedures and decision-making

Career Opportunities for Promotional Employees

Many agencies already have career paths defined for promotional employees. Some have instituted succession planning, particularly for key or specialized positions. In many agencies, civil service managerial positions traditionally have been filled promotionally. Promotional preference has been a predominant feature of past civil service law and regulations.

Chapter 5: Recruitment, Selection, and Employee Movement

How will this change under WMS? Much will depend on each agency's internal policies and the needs of individual positions as they are filled. While the new law promotes employee mobility, it does not require promotional preference. As agencies determine how to fill WMS positions, it will be important to strike a balance between retaining flexibility and options, and providing career advancement opportunities to employees.

Some questions to consider:

- How will the new possibilities afforded under the WMS affect career paths?

- Will employees need to rethink their strategies to compete for WMS positions? Will they need training in this area?

- How should succession planning be handled? When is it an appropriate strategy and when is it not? How does the agency decide who to include in succession planning?

- Should there be an agency policy on promotional opportunity? Would such a policy enhance or inhibit workforce diversity and other selection options?

- Should vacancies always be announced to agency employees or are there situations where this is not necessary? (e.g., when employees do not possess specialized skills needed; when someone has already been trained for a particular position). What will be the effect of these choices on selection costs? How do we strike a balance between efficient recruitment/selection and employee morale/inclusion?

- When might limiting recruitment to promotional applicants be the best? When would it not meet position or agency needs?

Transfers

Permanent employees who are in either the General Service or the WMS may request a transfer to a WMS position at the same salary level. (See Chapter 4 for more information on salary levels).

Agencies may also transfer an incumbent or a position with an incumbent to meet organizational needs. In this case, it is important to consider the desires and needs of the employee as well as what is reasonable for that job and geographic area.

For example, a 35-mile commute may be a hardship or an unusual requirement in one area due to traffic and time but take much less effort and be considered reasonable and common in another. This should be decided on a case by case basis, and will depend on factors such as commuting time, traffic conditions, average commuting conditions for the location, and profession. The time, distance, and conditions of travel from the employees home to the new work station is the key.

> **Example:** *John D. drives 20 miles north to Office A. He is transferred to Office B, which is 25 miles further north. While the transfer from Office A to Office B is only 25 miles, the commute for John is now 45 miles.*

It may be useful for agencies to define what factors will be considered to determine whether a particular transfer is reasonable.

If organizational needs demand the transfer of an incumbent beyond a reasonable commute, and the incumbent does not accept the requirements, then the transfer cannot be forced. If the position must be moved and the incumbent's position is eliminated in its current location, then reduction-in-force rules would apply.

Permanent or temporary transfers, "outplacements," or employee "exchanges" between agencies are allowed, but the reasonable commute applies in these cases as well. Also, while the employee's consent should be a goal in all cases, it is not required.

Many agencies already have policies pertaining to intra- and interagency transfers. These will need to be reviewed to determine which of the practices for the General Service are applicable to WMS positions, which policies need modification, and what, if any, new policies will be created to cover WMS positions.

Some issues to consider regarding transfer policies include:

- Are current policies applicable or not? Why?

- Do current policies support the increased flexibility required by WMS?

- Should all staff be notified when vacancies occur so potential transfer candidates can make themselves known? If so, in all cases? What, if any, exceptions are appropriate?

- How will transfer applicants from other agencies be considered? Should they be considered?

- Will transfers between the General Service and WMS be any different than those within WMS?

- How will transfer candidates be evaluated? Using the same criteria as promotional or outside applicants?

- When considering transferring a position with an incumbent, how will a reasonable commuting distance be determined? By geographic area? By job type? On a case-by-case basis?

- How will other measures of reasonableness be determined?

- How will disagreements be handled to try to attain consensus? [Note: WAC 356-56-600 specifies "transfer that is alleged to be an unreasonable commute" as an action that is appealable to the Personnel Appeals Board.]

■■■Sample Agency Policy

Subject: Recruitment and Selection

■   The hiring supervisor has the authority and the accountability for all re-
cruitment and appointment actions for positions in the Washington Man-
agement Service (WMS). Hiring decisions will be based on fair, objective
criteria and on the job-related characteristics required for the position.

■   Agency positions will be advertised internally, when appropriate, to allow
staff opportunities for mobility, promotion, and career development.

■   The hiring supervisor, with guidance from the Human Resources Man-
ager, will determine the most appropriate recruitment and selection meth-
ods on a case-by-case basis. The supervisor may choose to consider only
agency promotional and transfer candidates, or may choose to advertise
for state-wide promotional and open-competitive candidates.

■   The hiring supervisor must consider affirmative action needs when filling
the position. All appointments will be made without discrimination on
the basis of race, color, creed, national origin, political affiliation, gender,
age, marital status, sexual orientation, or the presence of any sensory,
mental, or physical disability.

■   The hiring supervisor has the authority to make acting appointments.
Agency staff will be considered for acting appointments prior to consider-
ing interagency or open-competitive candidates. Consideration will be
given to upward mobility, cross-training, workforce diversity, and employee
development opportunities for agency staff when filling acting appoint-
ments.

■■■ Filling Positions in the WMS

Evaluating the Need for the Position:

As with any position that becomes vacant, the first step is to evaluate how this WMS position is being used. Questions to consider include:

- Is the position still needed? If so, is it needed permanently or on an interim basis?

- If so, are the current duties appropriate?

- Is the position appropriately evaluated?

- Is the compensation level appropriate?

- Should the position be used at a higher level? At a lower level?

- Would organizational goals be better met by transferring the position elsewhere?

- Could the duties be distributed among other positions to streamline service delivery and improve operational efficiencies?

Planning for the Recruitment and Selection of the Best Candidates

Once it has been determined that the position will be filled, there are a myriad of possibilities for recruiting and selecting the best candidates. The best recruitment plans are developed in advance and meet the organization's needs by identifying and attracting diverse and skilled employees.

Successful recruitment and assessment of management level employees requires the person making the hiring decision to take a major role in the process. Besides the final selection of candidates, the decision maker should also be involved in:

- Assessing the needs of the department/agency and identifying the essential skills required to meet those needs.

- Being sensitive to the possible interests of internal employees and the effects of selection decisions on morale, productivity, and service delivery "downstream."

- Understanding and addressing any factors that may limit the attractiveness of the agency's jobs or limit the candidate pool.

- Marketing the position, the agency, and the state to candidates.

- Organizing and directing a professional and credible search and assessment process.

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The ultimate goal of recruitment and assessment is to provide qualified candidates for the position in question. The person preparing the recruitment and assessment plan must analyze all relevant factors, including the cost, efficiency, and effectiveness of different alternatives.

Decide what needs to be done, who will do it, and when. Decide when the position needs to be filled and work backward to develop a time line. Try to be flexible: what is learned during the analysis of the situation may cause the time line to be altered. Balance what it takes to get a quality employee with the need to have the position filled. Consider whether the position should be filled temporarily to give time to find the right person.

The following steps will facilitate successful planning of a recruitment and selection strategy tailored to the organization's needs:

Step 1: Evaluate requirements for successful job performance

Step 2: Determine how to reach a diverse, qualified candidate pool

Step 3: Determine how to assess candidates

Step 4: Consider cost effectiveness of selection options

Step 5: Conduct the recruitment and assessment

Step 6: Monitor and evaluate the recruitment

Step 7: Record results and notify DOP

Step 1: Evaluate Requirements for Successful Job Performance

The first step in the recruitment and selection plan is identification of skills and other requirements for successful job performance. A systematic look at the job helps one take into consideration all of the important elements and keep them in perspective. A good analysis of job requirements at the beginning will ordinarily save more than it will cost. An employee who is not well matched to the job requirements performs poorly; requires extra supervision and extra training; produces less; affects overall morale, productivity, operational costs, and service delivery; and is more likely to have to be replaced soon.

A job analysis (also called "job review" or "scoping a job") can take many forms. It may be an informal process covering key questions or one of the formal techniques available. Regardless of the process used, the results must specify what is done on the job, and what knowledge, skills, abilities, and other work characteristics and behaviors (KSAOs) distinguish superior performers from other candidates. In addition, the working environment, the level of training expected of a new hire, and the type of supervision the employee will receive should also be identified.

A sample of questions to ask is provided on page 5-11. A comprehensive listing of the knowledge, skills, and abilities (KSAs) critical for management success is provided in Chapter 1 (page 1-5). These critical KSAs provide a good starting point for evaluating managerial positions. Agencies can add, delete, and provide emphasis based on the requirements of specific positions or job groupings.

Make sure that the KSAOs are actually required to accomplish the objectives of the position, rather than being needed for the way the job is usually done. Don't automatically assume that qualities the other incumbents have are required for outstanding performance.

Consider whether the candidate must have all these qualities at the time of hire, or whether it makes sense to have the candidate learn some of them on the job. When considering credentials, consider whether candidates can demonstrate the qualifications some other way.

Also take into account proposed goals the agency has identified. These may be affirmative action goals, career development pathways, or other commitments. Determining how to address all these needs will provide the basis for a productive recruitment.

A good analysis will specify the characteristics a person needs to do the job well. Some of the needed characteristics will be obvious without a thorough job analysis but, without a systematic approach, it is easy to overlook some crucial requirements while concentrating on the obvious ones. It is also more difficult to explain final hiring decisions if challenged.

In summary, the analysis should cover several aspects of the job, such as:

■   The job duties, with essential functions identified.

■   Competencies and characteristics needed for successful job performance.

■   Amount of orientation that may be provided before the employee should be fully productive.

■   How the job fits into the organization.

■   New roles or directions within the agency.

■   Particular problems, commitments, or other issues that may affect the success of recruitment and assessment efforts.

Fully scoping the job will provide the most accurate picture of the best person to fill the position.

Salary Setting for Recruitment

Another important step in the job analysis is determining the salary level for the position. Many of the questions included in the sample job analysis questionnaire on page 5-11 also apply in determining the position's salary. For more information on salary determination, refer to the guidelines discussed in Chapter 4 (Compensation).

A manager may want to indicate a general salary amount or range of compensation for recruitment purposes with a final salary rate based on the candidate pool and specific experience and training of the selected candidate.

SAMPLE JOB ANALYSIS QUESTIONNAIRE

◆ What tasks are performed?

◆ Which tasks are the most difficult? The most critical?

◆ What are other expectations for this job?

◆ What are the reporting relationships?

◆ What is the working environment?

◆ Are there other important conditions of employment? (e.g., rotating shifts; uniforms)

◆ Are there other organizational needs? (e.g., Affirmative Action goals, career ladder considerations, certain approaches that have been unsuccessful in the past?)

◆ What knowledge, skills, abilities, and other work characteristics and behaviors (KSAOs) are needed to perform the job?

◆ Which KSAOs distinguish good performers from poor performers?

◆ Which KSAOs are the most critical to successful performance and need to be part of the assessment?

◆ Which KSAOs are needed at time of hire? Are there some characteristics all candidates will have?

◆ Which KSAOs can be learned on the job and don't need to be part of initial assessment?

◆ What hiring problems have been experienced in the past?

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Step 2: Determine How to Reach a Diverse, Qualified Candidate Pool

Targeting the Candidate Source

Once the needs of the position and agency are understood, the next step is to decide who and where the target group of candidates may be. Where did the previous incumbent (or coworkers) come from? Were they good performers? Are there new needs or requirements? Once the particular candidate group is targeted, advertising efforts can be focused in that direction.

Achieving affirmative action goals and diversity in the work place are important parts of the Washington Management Service. Deciding which goals need to be met can also influence the recruitment effort.

Sometimes traditional recruitment may not be the best way to meet the agency's need to fill a position. A career path or succession planning for personnel within the agency or other state agencies may be the best approach for some positions.

When appropriate, internal career paths can greatly reduce the inefficiencies of unnecessary recruiting and training of outside candidates. Career paths provide several benefits to an agency:

- Favorable employee morale

- Appropriate numbers of candidates

- Reduced production time losses

- Timely hiring

- Thorough information about the candidates

- Quality appointments

When recruitment outside the agency is the most appropriate strategy, possibilities for locating candidates include:

- The candidate skill bank at the WMS Job Information Clearinghouse located at the Department of Personnel (See page 5-30 for more information on the Clearinghouse.)

- Other managers, agencies, or local jurisdictions who may have recently conducted similar searches

- Other state or government agencies

- Private sector organizations

- Protected group organizations or networks

- DOP Executive Search services

- Professional organizations or networks

- Colleges and universities

- Career days, or professional meetings, conferences, or seminars, etc.

- Word of mouth

- Referencing and sourcing techniques

- Ads in newspapers, professional journals, or newsletters

- Specific mailing lists

- Announcements on electronic mail or bulletin boards

- Public service radio or cable

- Telephone networking

As part of defining where to search for appropriate candidates, consideration will need to be given to time and expense parameters. Also ensure that the search will identify a diverse candidate pool.

Announcing the Job Opening

How the job opening is announced strongly influences the success of the recruitment. An announcement that attracts 250 applicants is more trouble than it is worth if it requires staff to sort through stacks of unnecessary applications. If the best candidates are internal and already know what the job entails, a brief message via electronic mail, voice message, memo or in person may be the best announcement.

When a more formal announcement is needed, it should be worded so that it attracts the best candidates and discourages unqualified candidates. The announcement should clearly describe both the attractive and unattractive aspects of the job. Aspects that are unattractive to some candidates will be attractive to others, or else will be balanced out by attractive aspects.

The key to identifying the recruiting or applicant base is to guard against "process over outcome." Do what will produce the desired outcome—good candidates. Don't do something just because "we always do" or "somebody else did." Don't make candidates jump through unecessary hoops. Do what will work for the situation at hand. In general, guard against patterns of exclusion, especially along diversity lines.

Recruitment announcements should be informative but short. Good candidates will not wait around to read lengthy, tedious documents. The announcements should be published and circulated where they will best reach the applicant base.

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The locations and frequency of openings and the availability of candidates are determining factors in deciding how and where to recruit. If there are plenty of good candidates within an agency, a restricted recruitment will still do the job. Where candidates are not so plentiful, recruitment efforts will need to be broadened accordingly.

The combination and applicability of the various advertising techniques available are very broad and depend upon the peculiarity of each individual case.

If Paid Advertising Is Being Considered, What Type Will Be Best?

The most common advertisement is the classified ad. They are particularly useful when targeting specific geographic areas or when there is uncertainty "where" the applicant base for a position is. However, classified ads may not be cost effective. Consider how much the prospective ads cost versus the likelihood of the ad generating a sufficient number of quality candidates.

Another consideration is time. Is there enough time in the recruitment period to allow for the proposed ad? Local classified ads can be placed quickly in most instances. However, regional or national advertisements require more lead time and professional journals more yet.

To be worthwhile, an advertisement must be placed where it reaches people with the level of expertise you expect the candidate to bring to the job. Direct your announcement to the source of the best applicants. This may be a professional organization, a training institute, or a specialized publication. Don't feel you have to advertise in writing. You may get good results speaking to people close to possible candidates.

Step 3: Determine How to Assess Candidates

How qualifications will be assessed plays a key role in the recruitment. It affects the scheduling of recruitment steps, the method of announcing, and what information the announcement asks the applicant to provide.

Don't guess about whether a candidate is qualified. There are many ways to assess a candidate's skills and to verify that the candidate will use them. An interview can be adapted to assess all sorts of qualities. Performing tasks that are part of the job can demonstrate many attributes. Background checks can be especially useful when they obtain information from various sources and contain questions about what the person did, rather than questions about whether the person is good.

A good assessment strategy will help you determine who the best candidates are, and how they will be evaluated. When designing the assessment, be sure to use the job analysis and involve individuals who are knowledgeable about the job being filled. Different positions will require different assessment approaches.

About "Minimum Qualifications"

The WMS rules do not require traditional selection processes such as the use of minimum qualifications. It is the discretion of each agency to use minimum qualifications and under what conditions. In making this determination, there are some important issues to consider.

Minimum qualifications are a very rough cut, but they are efficient in helping make firm pass/fail determinations. Nonetheless, the agency will usually be better served by more flexibility (unless certain requirements are mandated by law). When minimum qualifications or requirements for a vacancy are established, so, often, are barriers to filling it.

Excessive, restrictive credential and experience requirements may serve to unnecessarily limit the potential pool of highly capable candidates including persons of disabilities or female and minority candidates. Hiring authorities should guard against the use of excessive minimum requirements not truly needed for success in the position. Allow other phases of the selection process to measure candidate qualifications. Focus on KSAOs needed rather than specific experience or education.

Assess KSAOs at the Level Needed in the Position

In addition to identifying the qualities a candidate needs, specify the level at which those characteristics are needed. For example, a job may require a person who speaks Spanish. But what proficiency in Spanish is required? Does the person have to translate legal documents or scientific terms, or does the person greet clients and conduct them to their appointments? Assessment should be very different in these two cases.

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Requiring more fluency in Spanish than the job needs may screen out the candidates who fit the job best and screen in candidates who would feel their talents are wasted. A decision about level is just as important if the quality assessed is ability to interview, persuasiveness, or knowledge of statistics.

Requiring a level beyond what is needed unnecessarily excludes candidates, and may be biased, or contribute to high turnover.

Design Assessment Procedures that Are Sensitive to Differences in the Candidate Population

When developing assessment tools, pose questions so that the average performance of qualified applicants falls in the middle range; so that there is lots of room for better and poorer performance than that of the typical candidate. No matter how job-related, a situation in which everyone gets full credit, or everyone gets no credit, is useless.

Be Conscious of and Eliminate the Effect of Biases and Other Unrelated Factors

Don't allow particular experiences to affect the rating if persons without those qualifications may be equally qualified. Knowledge of a system used in the current position tells little about eventual success in the position if the system can be learned in a short time. Knowledge of a particular jargon or theories that can be easily learned on the job have little to do with competence. Be aware of biases towards "sameness" and open to the value of differences which can enrich organizational diversity and service delivery.

One of the most direct ways to eliminate bias is by making sure that the assessment is fair, and based on job-related factors. For example, don't require a degree, specialized experience, or in-house knowledge if it is not essential. It is also important to eliminate situations or assumptions based on stereotypes. Be open to different ways in which candidates can show their abilities. Be prepared to alter formats to accommodate candidates with disabilities. Include clients and other "outsiders" in the selection process and design. Finally, make sure language usage is non-offensive. EEOC federal guidelines and Human Rights Commission law and guidelines provide additional information on nondiscrimination in selection.

Design Procedures that Best Fit the Needs of the Particular Recruitment.

There are many kinds of assessment options available. Some of the more familiar techniques are resume reviews, supplemental applications, oral interviews, reference checks, hiring committees, and performance tests. Less frequently used techniques include peer reviews, assessment centers, bio data instruments, and psychological testing. These approaches may be used individually or in combination.

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Each technique has its advantages and disadvantages. Some are very quick, and others more labor intensive. Some are inexpensive to develop and administer; others can be costly. Each selection method can provide some good information about candidates, but perhaps not as well or as thoroughly as is needed in a particular situation. In deciding what approach will best meet the particular needs, it is important to balance the following concerns:

- What do I need to find out about candidates?

- What is the best method for assessing what I need?

- Have certain tools been successful or problematic with our targeted applicant pool?

- Will one tool give me what I need, or will I need multiple steps?

- How much time and expertise will it take to develop and administer the tools I think will work best?

- What is the cost-effectiveness of the methods proposed?

- How much time do I have to make my hiring decision?

- How many candidates do I expect?

- Where are candidates located?

- What will candidates accept?

- What expertise is available for designing a sound procedure?

- What expertise is needed and available for actually conducting the assessment?

Establish Clear and Consistent Rating Criteria

It is important to know against what yardstick candidates are being measured. Establishing rating criteria will ensure that those involved in the assessment process have a common understanding of the candidate qualities you are seeking. This can be as straightforward as making sure all raters have reached a consensus on what constitutes a good candidate. Or, a more structured approach with rating values may be best for some selection situations. Examples are available in DOP booklets on oral exams and interviewing (see the Resources listing beginning on page 5-34). DOP Personnel Services Division staff can also provide other examples or assistance.

Ensure that Various Factors Carry the Appropriate Weight in Candidate Appraisal

Exceptional suitability on a crucial factor may seem to compel the choice of a candidate, but it is important to determine how the candidate compares on all the important requirements. It is easy to let the last observation of the candidate sway the decision. Or perhaps the decision maker has full knowledge of only the last observation. The decision maker must consider information that allows comparison of the candidates on all the variables that affect performance.

Step 4: Consider Cost Effectiveness of Selection Options

When determining the optimum recruitment and assessment plan, it is important to weigh the costs and benefits of various options. Some considerations include:

Potential costs

- Advertisement costs

- Distribution costs

- Travel costs (job fairs, conferences, candidate travel, etc.)

- Lost production in the agency because of the vacancy or recruitment period

- Turnover due to poor selection

- Appeals, questions regarding validity, if assessment is not appropriate

- Long-term costs of dealing with a poor employee if assessment doesn't identify best candidates

- Non-usable or out-of-date hiring pool if recruitment is not done well or takes too long

Potential benefits

- Quality candidate pools

- Quality appointments

- Improved service/production due to good selections

- Appropriate number of candidates

- Favorable public and candidate relations

- Timely hiring lists

- Reduced production losses or "down time"

- Acceptability with candidates, workforce, management, labor groups, and agency staff

The costs in time, effort, and resources must be compared to the potential quality and usefulness of the resulting pool of candidates. Sometimes minor adjustments in the recruitment plan can lead to major improvements in outcomes. Consider the following examples:

> **Example 1:** *Assume you have a position for which you have determined you need to recruit outside of your agency. You are aware of several good potential*

candidates in nearby local government agencies and others in the private sector throughout the state. In this case, using the General Service distribution would be economical, but not reach much of your targeted audience. An ad in the Wall Street Journal would be very expensive; although it may net some good candidates, it is not necessary if you have already identified several who are located locally.

A more cost-effective approach would be a consideration of specific mailing lists, personal contacts, and perhaps a brief ad in one or two of the state's major newspapers.

Example 2: *Number of candidates, time, and information needed are key factors in designing the candidate assessment method. A two-day assessment center may provide excellent in-depth information, but would be time consuming and expensive even for a small number of candidates. Alternatively, a resume review to determine top candidates, and a structured oral interview combined with reference checking could give the information needed in substantially less time and at a lower cost.*

Step 5: Conduct the Recruitment and Assessment

The following is a comprehensive checklist to facilitate the conduct of an efficient and effective recruitment and selection strategy. Incorporated in this checklist is a recap of key planning and analysis issues for a successful recruitment effort.

Considerations for determining the applicant base and recruitment sources:

❑ What are the essential duties of the job that needs to be filled?

❑ What are the knowledge, skills, abilities, and other work characteristics and behaviors candidates will need to meet?

❑ Where will potential candidates be found? How many will be needed?

❑ Has there been any succession planning?

❑ Are there RIF's, reversions, transfers, etc. to consider?

❑ Are there "feeder" jobs, e.g., career ladders, or series of jobs inside the agency or elsewhere in state government?

❑ Can other employees/recruiters/personnel officers (inside and outside state government) provide qualified candidates?

❑ What do previous or related recruitment histories tell about the numbers of candidates attracted in the past?

❑ Can the DOP Workforce Diversity Unit or community-based groups provide candidates?

❑ Is the WMS Job Information Clearinghouse (WMS skills bank located at DOP) a good source of qualified candidates?

Factors to consider in determining timing and duration of recruitment:

❑ Does a current or projected vacancy indicate a need to recruit immediately, next month, next year, etc.?

❑ How many positions exist, and what is the turnover rate?

❑ Is the candidate pool readily available or will information need to go to several locations or sources?

❑ Should timing be tied to seasons, graduations, market conditions, etc.?

❑ What is the anticipated volume of applications? How long were previous recruitments and what were the results?

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❑ How long should the recruitment extend: 1 week, 2 weeks, 1 month, continuous, indefinite, or some other length of time?

> Note: If past recruitment resulted in an oversupply of candidates, shorten the recruitment time or recruit less often. If it is difficult to attract enough good candidates, or a particular position has a high turnover, recruitment may need to be for a longer period of time or more frequent.

Considerations for reaching the recruitment base and determining the breadth of distribution:

❑ Should recruitment be conducted in different areas within the state?

❑ Should recruitment be conducted inside/outside the agency, state service, or the state?

❑ Should recruitment be conducted regionally or nationally?

❑ Will recruitment announcements reach enough potential applicants and provide quality candidates?

❑ How many candidates might be attracted by word of mouth?

> Note: Often the best candidate is not seeking a job, looking at job listings, or reading the classifieds. The probability is great that the best workers are not out of work. These people can be found through referrals and direct contacts. The job location, agency, and Washington State must be marketed to them in a way to make them prefer it to their current position. The prospective candidates must be approached professionally.

❑ Can agency-internal recruiting through electronic mail (E-mail), bulletin boards, or other internal distribution systems be used?

❑ Will networking or exchanges with special interest groups be needed or beneficial?

❑ Is the use of specific mailing lists, or newsletters to protected groups, networks or organizations, and/or professional associations an effective alternative to target specific pockets of candidates?

❑ Are there appropriate job fairs, career days, or planned professional meetings nearby?

❑ Are there workshops, town meetings, conferences, or training seminars where presentations or ad distributions could be effective?

❑ Is using public service announcements on the broadcast media a potential resource?

> Note: Public service announcements via radio or TV might be used in specific instances for targeting protected or other applicant groups. Local public radio and television broadcasting, when available, may not be effective for all types of skills. Pay particular attention to broadcast times to ensure availability to the proposed candidate audience.

❑ Will college recruitment be effective for entry-level management positions?

> Note: If so, it is important to recruit early for college graduates since many of the top students have job commitments by spring of their graduation year.

❑ Will newspapers be a good source?

> Note: Classified ads in newspapers can usually be placed within a few days. They can be expensive, but may be a particularly good way to reach special populations such as bilingual candidates or other candidates with specialized skills.

❑ Are professional journals or other publications good or timely sources? When trying to target a specific group or type of candidates (e.g., medical professions, scientists or engineers), professional journals and publications can enable one to reach better qualified candidates. Cost and timing are important considerations.

> Note: Ads in trade or professional journals are costly, both in time and money. There is usually at least an eight-week delay in publishing an advertisement in a journal, and it can cost hundreds of dollars.

❑ Recruitment announcements listed with the Department of Personnel will reach many people at less cost to the agency than a newspaper advertisement. However, if seeking a more specialized group with distinct characteristics, it may be best to spend the dollars on special mailing lists or on journal or newspaper advertising.

Special issues to consider in recruitment planning where problems are anticipated or where previous recruitments have failed:

❑ Sometimes recruitment may not be the best option for meeting an agency's need to fill a position.

❑ In other instances, special measures may be required to obtain qualified candidates.

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❑ In cases where severe recruitment problems exist, consideration may need to be given to changes in the desired qualifications or salary, or perhaps even the structure of the job itself.

Other options to consider to expand or improve the recruitment:

❑ Open recruitment indefinitely rather than limiting the recruitment period if you anticipate few candidates or several openings.

❑ Publish informational notes on announcements designed to attract applicants; e.g., a positive description of the position, working conditions, and benefits, or even information about the geographic location or developmental opportunities.

❑ Accept candidates who don't technically meet the desired qualifications, but who may have potential that would make them effective candidates.

Considerations for limiting or targeting recruitment:

❑ Avoid wide scale advertisement of an opening if the target group is small.

❑ Use self-screen notes on announcements or advertising that describe aspects of the job that may not be desirable for all candidates.

❑ Use localized rather than centralized recruitment.

❑ Consider other options in lieu of recruitment such as succession planning, a good mentoring program, rotational or developmental assignments, and temporary appointments.

❑ Mix wide announcements internally with targeted advertisement outside— a good way to meet internal morale issues and diversity outreach as well.

Basic information for the recruitment announcement (or advertisement):

❑ Most job announcements include the title, salary, duties description, location, agency information, qualities sought in candidates, and application instructions.

❑ Provide information about the availability of alternate formats and accommodations for persons of disability.

❑ If the expected process for candidate selection will take several steps, it is advisable to include a description of the process in the announcement. An alternative is to include the date by which candidates can expect to hear from you. (Either can reduce the number of phone calls which may result from a recruitment, and more importantly, improve communications with, and treatment of, candidates.)

❑ Use specific information in the recruitment announcement. When candidates have a clear idea about what qualities are being sought, fewer unqualified persons will apply.

Considerations in conducting the assessment process:

❑ Use the same criteria for all candidates at each step of the process.

Note: However, remain open to changes that may need to occur. Let's assume you anticipated ten candidates and on this basis had decided to administer an oral interview to all who met basic requirements. You are surprised by receiving thirty well qualified candidates. While you may decide to interview all thirty in one case, in another you may wish to screen the pool to ten or twelve.

❑ Make sure that raters or interviewers are not potential candidates for the job and reflect the diversity you seek in your candidates.

❑ Ensure that raters or interviewers are knowledgeable about the requirements of the job and are familiar with the assessment tool and criteria being used. In many circumstances, it is also important to convey to raters the confidential nature of the selection process.

❑ Make sure that all the most important qualifications get considered. Do not let the latest or the most dramatic evidence overwhelm other important information acquired about the candidates.

❑ Communicate with candidates at each step of the selection process.

Note: It is common courtesy and good business to keep candidates apprised of what is happening in the recruitment. Acknowledge receipt of their applications and keep them informed about the schedule of the process. Candidates should not be allowed to wonder whether they have been forgotten. Maintain rapport with the candidates throughout the process. Candidates who finish in the top but are not selected may be good choices for future jobs.

❑ When candidates have been eliminated from consideration, they should be notified.

Note: Finalists should be informed as soon as the appointment is made—from the hiring authority, not through the grapevine.

More information is available in publications listed in the Resource section or you may call on DOP staff if you need further assistance.

Step 6: Monitor and Evaluate the Recruitment

Once the decisions that put the actual recruitment process into motion have been made, the work is still not complete. Recruitments must always be monitored, new ones especially closely. Any problems that occur, and anything that worked very well, should be noted for future reference.

Monitor the steps and progress of the recruitment. Are any unanticipated problems occurring? How could they have been avoided? Be sure to record things that worked well or didn't work very well. Once the hiring decision has been made, evaluate how well the plan worked. Did it achieve the desired results? Were there any particular problems? Was the candidate who was chosen successful on the job? All this information should be kept to assist in planning future recruitments.

Step 7: Record the Results and Notify DOP

The Department of Personnel tracks applicants by protected group status throughout the selection process. Agencies will need to keep similar records, as well as records on final hiring decisions. Agencies are encouraged to develop policies on what information they will keep, where it will be kept, and for how long.

Besides the basic information on numbers and protected group status of applicants at the different stages of the hiring process, there may be other information that the agency would find useful. Examples include: how information distribution or advertising was conducted, any comments or inquiries from applicants about the process, how long it took, satisfaction with results, etc. It is also important to keep records that show the job-relatedness of the procedures used to screen applicants and arrive at the final decision.

In summary, key elements to record are:

- Results of the Evaluation of Job Requirements.

- Assessment tools used.

- Recruitment methods used.

- Numbers and protected group status of applicants at each stage of screening.

- Any problems and how they were resolved.

- Final hiring decision.

- All personnel actions for positions and incumbents.

- Position number and title for all WMS positions.

WAC 356-56-650 requires agencies to maintain records of employees in the Washington Management Service, identifying them as WMS employees, including position numbers and position titles, and tracking all personnel actions. The WAC also requires agencies to report statistical information to the Department of Personnel regarding diversity, applicant flow, and appointments following each selection. Forwarding this information to DOP will allow DOP to provide consolidated information on the WMS as requested by the Governor's office or the Legislature.

To assist agencies in the collection, forwarding, and compilation of the information required by WAC 356-56-650, a sample form is included on page 5-28. Agencies may use this form or develop their own.

██ Form for Reporting Appointments to DOP

Date: _____   Provided by:_____

Agency: _____   Phone #:_____

WMS Band Level: WMSI ____   WMSII ____   WMSIII ____   WMSIV ____

Position Number: _____   Position Title: _____

Candidates Considered:

Total Number Considered: _____

Agency Promotional _____ Service-wide Promotional _____ Open Competitive _____

Black _____ Hispanic _____ Native American _____ Asian _____ Caucasian _____

Male _____ Female _____ Persons with Disability _____

Veteran _____ Vietnam Veteran _____ Disabled Veteran _____

Candidate Appointed: (Circle the appropriate answers)

Ethnicity/Race: Black   Hispanic   Native American   Asian   Caucasian

Sex: Male   Female

Person with Disability: Yes   No

Veteran: Yes   No   Vietnam Veteran: Yes   No

Disabled Veteran: Yes   No

Prior Status: Agency Promotional   Service-wide Promotional   Open Competitive

Appointee's Name: _____

Please forward the completed form to the Department of Personnel, Attention: WMS Clearinghouse, MS: 47500, 1-2. If you have any questions about the form or its use, please call (360) 753-2303.

■■■ Acting Appointments to WMS Positions

An interim or acting appointment may be more appropriate than a permanent appointment under certain circumstances. Some examples include when an employee is on extended sick leave or family leave; when extensive recruitment is anticipated to take several weeks; when there is uncertainty regarding continued funding for a position; when a reorganization is pending; when there is a grant or project; and, other temporary situations where a permanent appointment is not appropriate.

The WMS rules do not specify a time limit for acting appointments. The agency or hiring authority has discretion to determine the length of such appointments. In doing so, the effect on employee morale, service delivery, employee benefits, and productivity should be taken into consideration.

Written notification to the appointee must indicate the length of the acting appointment. It should also include a qualifying statement that unforeseen circumstances could shorten or extend the expected time frame. Notification should cover conditions of employment including whether or not benefits will be paid. The existing agency policy may serve as a guide for determining the issue of benefits.

Acting appointments may be made from outside state service, from general service classified employees, or from within the WMS. Appointees from outside state service will not gain permanent status as a result of an acting appointment. Permanent employees have the right to resume their previous position or a similar position at the conclusion of their acting appointment.

If the WMS employee is in a review period at the time of the acting appointment, the letter should explain how the appointment will affect the review period. Agencies have the flexibility to decide whether the acting appointment is similar to the permanent one and, therefore, should be considered part of the initial review period.

Chapter 5: Recruitment, Selection, and Employee Movement

■■■ WMS Job Information Clearinghouse

The *WMS Job Information Clearinghouse*, located at the Department of Personnel, offers a variety of services to job seekers and agencies regarding WMS employment opportunities and potential candidates for WMS jobs. Recruitment and selection activities in the Washington Management Service are conducted by each state agency. The WMS Job Information Clearinghouse offers a central source of information. Agency use of these services is optional.

Overview of Services Offered to Agencies

■   Skills bank of managerial candidates to consider when filling WMS positions.

   ■   Summary profiles of candidates' qualifications.

   ■   Candidate names and phone numbers.

   ■   Mailing labels of potential candidates.

   ■   Resume file for agency review.

■   Recruitment announcements posted at DOP office in Olympia.

■   Recruitment announcements distributed as appropriate.

■   Address labels of protected group organizations.

■   Consultative services upon request.

■   Reports on numbers and types of applicants in the skills bank.

Overview of Services Offered to Applicants

■   General information about the WMS program.

■   Single location to submit resumes.

■   Placement on central skills bank for consideration by hiring agencies.

■   Postings of recruitment announcements for WMS openings.

■   Recruitment announcements listed on voice mail for call-in clients.

■   Phone-in convenience to check on advertised openings; 24 hours a day, seven days a week.

■   Brochure/application packet available to interested applicants.

■   Reports on WMS hires.

Samples of the WMS Candidate Skills Bank Data Sheet and instructions are included at the back of this chapter.

WMS Candidate Skills Bank

Hiring authorities and agency recruiters can tap the skills bank as a potential source of candidates for WMS vacancies. The skills bank contains the names of persons interested in exploring job opportunities in the Washington Management Service. In addition to names, it includes addresses, phone numbers, diversity information, education and experience background, subject areas, geographic location interests and resumes.

Agencies can receive mailing labels to send job announcements and initial screening questions to potential candidates. Resumes are also on file at DOP for agency recruiters to review. By submitting the WMS Skill Bank Request form (sample on page 5-32), agencies can receive the names of persons with specific backgrounds.

Assistance with Recruitment Announcements

Agencies are welcome to post recruitment announcements of their WMS vacancies in the lobby at the Department of Personnel facility at 600 South Franklin in Olympia. Agencies should provide an adequate number of job announcements for this purpose (usually 125–150 copies for a two-week period). Call DOP at 753-2303 to coordinate.

Upon request, DOP will also distribute recruitment announcements statewide or on a targeted basis (e.g., to certain agencies or geographic locations only). The announcements would be distributed with DOP's General Service job announcement distribution. Openings can also be placed on the job line. To discuss these options, contact your team in the DOP Personnel Services Division.

DOP will also provide address labels for protected group organizations to facilitate targeted recruitment for WMS positions.

The WMS Job Information Clearinghouse is located at the Department of Personnel, 521 Capitol Way South, Olympia, WA, 98504-7530. For further information, call (360) 753-2303.

▆▆▆ WMS Skill Bank Request Form

Date Submitted: _____

Agency: _____   Caller:_____

Mail Stop: _____   FAX number: _____

Phone: _____

Job Title: _____

Estimated Annual Salary:_____

Job Location:_____

Education: _____   License: _____   Language: _____

Full Time _____   Part Time _____   Project _____   Temporary _____

Skills Desired: _____

_____

Comments: _____

_____

Mailing Labels Desired: Yes   No

Send to WMS Clearinghouse, Department of Personnel, MS: 47500, 1-2

■■■ Resources

WHO TO CONSULT FOR ASSISTANCE

Your own agency personnel staff

Selection Specialists, Washington State Department of Personnel
(360) 586-2366

Executive Search Services, Washington State Department of Personnel
(360) 664-0394

RECRUITING

Personnel Procedures, Washington State Department of Personnel, 5/89. A reference and developmental tool for current Department of Personnel staff and agency Personnel Managers. Provides both the conceptual and procedural tasks that Department of Personnel analysts perform. Includes recruitment strategies, oral, essay, and E&T exams, administering exams, and exam scores, as well as classification issues.

Effective Recruitment Ads in the 90's, State of Washington-Workforce 2000 Team, 6/91. Tips for carefully defining an agency's selling points and effectively targeting the best medium for the message.

Tips for College and University On-Campus Recruiting, Washington State Department of Personnel-College Days Project-Workforce 2000, 9/92. A handbook which provides potential recruiters with tips to assist them in educating and attracting those highest-qualified college and university graduates to employment with the State of Washington.

Shifting the Recruitment Paradigm-Recruiting for Hard-To-Fill Positions, State of Washington Department of Personnel, 1/93. A handbook of nontraditional approaches for success with hard-to-fill positions, and attracting affirmative action applicants.

Systemic Validity, Washington State Department of Personnel, 3/93. A booklet which causes you to think about the whole picture, assessing the quality of your selection processes.

DIVERSITY

Affirmative Action Planning Guidance, Washington State Department of Personnel, Workforce Diversity Program, 4/93. This manual contains information you need to know in planning for a results-oriented affirmative action program. State employers must be committed to making good faith efforts to attain and maintain equal employment opportunity.

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The Americans with Disabilities Act (ADA) and Employment, Washington State Department of Personnel, Workforce Diversity Program, 4/92. A technical assistance manual with detailed interpretive guidance regarding employment and the ADA.

Americans with Disabilities Act (ADA)...Essential Functions Guidelines, Washington State Department of Personnel, 2/93. A key requirement of the ADA is that a person covered under the Act cannot be denied employment solely because s/he cannot perform a function that is "marginal" to the job. This booklet will help guide you in determining the "essential" functions of the position you plan to fill prior to all recruitment actions.

ASSESSING APPLICANTS

EEOC Uniform Guidelines on Selection, Guidelines on the federal validation requirements for employee assessment and hiring practices.

Developing Evaluations of Experience and Training (E&T) Exams, Washington State Department of Personnel. A manual which covers everything from performing an analysis of the job, and writing the exam, to determining the exam's validity.

Oral Exam Development Manual, Schultz, C.B., Washington State Department of Personnel, 11/83. A guide for developing valid oral exams.

INTERVIEWING

Pre-Employment Inquiries and Screening, Washington State Human Rights Commission. Regulations concerning pre-employment inquiries and preventing practices having a high potential for discrimination

Improving the Interview, Valadez, C.L., Washington State Department of Personnel, 2/87. A manual which provides helpful tips for developing and carrying out valid, job-related interviews which comply with EEO guidelines.

▬▬ Sample Recruitment Scenarios

Agency Promotional

You have a program area that is highly specialized. You normally hire at the entry level and train employees in your environment. When you have hired from outside at the higher levels in this program, there have been multiple problems. You have several employees who are ready to compete for a managerial position in this program.

In this case, you will most likely find your best candidates internally. This situation may even provide an opportunity for succession planning. Any plans for recruiting outside would need to build in how to resolve problems experienced previously.

Target Recruiting

Historically your agency has primarily filled managerial vacancies on a promotional basis. Due to past hiring decisions, filling vacancies in this manner has meant you now have few protected group candidates to consider internally. The position you have now does not require in-house knowledge. There are several promotional candidates. You have many goals not yet met at this level.

In this situation, a recruitment targeting only your promotional candidates and protected group candidates could work well. You need to ensure that in-house knowledge is not part of the screening process if it is not required on the job. Your Affirmative Action Office or DOP Workforce Diversity office can provide information on conducting target recruitment.

Extensive Recruitment

You have a very special need for a good manager with a specific technical background that few have. Your agency promotional candidates have a working knowledge but are not experts to the degree needed. Or, you have a brand new program that needs to be set up from ground zero, and none of your employees have this kind of expertise.

In these two situations, recruitment outside is likely your best approach. How widespread you need to search or advertise will depend on how many candidates you think you might identify. For the first situation, since few people possess this knowledge you may need to search and advertise nationwide. For the second situation, a statewide or Northwest regional recruitment could be sufficient.

■■■ Use of Outside Assistance in Employee Selection

To fill any position someone must spend time planning, organizing and carrying out candidate appraisal and selection. An untrained staff member may take some time to figure out what to do, then do a respectable job of it. A specialist who has done it many times before does the job quickly and systematically. A selection specialist enumerates the job requirements, determines where to find the best candidates, prepares an announcement that attracts the best and discourages the mediocre candidates, and designs a method to evaluate candidate qualifications.

The qualities it takes to perform well in a position are not always easy to identify. And assessing which candidate best demonstrates those qualities is more difficult. To develop a strategy to find the ideal employee, a person has to be analytical and sensitive to nuances in communication. It helps to know what procedures have proven effective and legally defensible.

Some agencies already have staff who are well-versed in employee selection. For those needing additional support, the Department of Personnel has a trained staff of selection specialists who can assist you with your selection needs, or with training your current staff.

You also may have an occasional selection situation where you would consider using a consultant or purchasing a test. If you are considering this, DOP selection staff can also assist you in analyzing needs and evaluating products.

Chapter 6: Management Development and Education

Chapter Contents

▄▄▄ Introduction

High quality management development and education is recognized in the Washington Management Service (WMS) as an essential ingredient in ensuring professional managers who can lead delivery of services to the citizens of Washington State in the most efficient and effective manner possible.

The statute creating the WMS (RCW 41.06.500) calls for:

> *"...management training and career development programs that build critical management knowledge, skills, and abilities; focusing on managing and valuing diversity; empowering employees by enabling them to share in workplace decision making and to be innovative, willing to take risks, and able to accept and deal with change; promoting a workplace where the overall focus is on the recipient of the government services and how these services can be improved; and enhancing mobility and career advancement opportunities..."*

This chapter of the WMS Handbook offers information to assist with the planning and delivery of a quality management development and education program.

For further information and assistance regarding the WMS management development and education program, contact:

> WMS Training Office
> Human Resource Development Services
> Department of Personnel
> 600 South Franklin
> P.O. Box 47530
> Olympia, WA 98504-7530
> (360) 586-6748

Chapter 6: Management Development and Education

■■■ Roles & Responsibilities for Management Development

Responsibilities for the provision of management development in the Washington Management Service are outlined in these guidelines and in WAC 356-56-400 through 356-56-420. Overall, management training should be a collaborative effort among the Department of Personnel, state agencies, and individual WMS employees. The general roles of these entities include:

Department of Personnel

■ Provision of a *core management program* to develop those skills essential and common to most Washington Management Service employees.

■ Provision of consultation, guides, and technical assistance to help agencies address the development needs of their managerial employees.

State Agencies

■ Identification of management training needs and affording WMS employees opportunities to address those needs.

■ In addition to overall management skills training, ensuring that managerial employees receive diversity training and education about the personnel system.

■ Establishing agency-internal policies concerning tuition reimbursement and educational leave.

Individual WMS Managerial Employees

■ Seeking out and fully participating in opportunities to further develop management knowledge, skills, and abilities.

To best provide the citizens of Washington State with continually improving services, all state employees need managers who can assist and support them to realize their full potential in a multicultural environment. To enhance their abilities, build their skills and maximize their opportunities for learning, all managers should engage in high quality training and developmental activities.

WMS Task Force on Management Training and Development (1993)

◼◼ WMS Management Development – Key Components

The WMS management development program seeks to enhance those knowledge, skills, and abilities (KSAs) that are considered essential for successful state government managers. The development and use of these critical KSAs are recognized in the WMS management development and education program, performance evaluation system, and guidelines for recruitment and selection. A complete listing of the critical KSAs is included in Chapter 1.

Key components of the WMS management development program offered by the Department of Personnel include:

- ◼ The core track series: A selection of high quality courses focusing on the development and enhancement of the critical management skills expected of all WMS employees.

- ◼ High impact short courses: Four-hour courses on advanced management topics (to be phased-in).

- ◼ A variety of skill-specific course offerings in which individual managers can participate as needed to address individual development plans. (See the listing beginning or page 6-11).

- ◼ Assistance in administering and interpreting the META 360° management training needs assessment tool. (See further explanation on page 6-8.)

- ◼ Consultation and assistance to agencies in preparing agency-unique and individual management training plans; assistance in coordinating developmental job assignments.

- ◼ Contracting services for agencies to gain immediate access to WMS contracted instructors (for agency-internal management development programs).

- ◼ Issues on diversity integrated into each course.

- ◼ Seminars on the manager's role in the human resource system.

Key components of the management development program offered within each agency to its WMS employees should include:

- ◼ Assessing individual management training needs and preparing an individual development plan to address those needs.

- ◼ Facilitating opportunities to engage in needed management education—whether training be participation in the core track series and other courses, or

non-classroom developmental activities such as special job assignments, videos, etc.

■ Coordinating management development workshops or other activities that impart knowledge or skills that may be unique expectations of the agency for all or most of its managers.

▰▰ Training Needs Assessment and Development Plans

To help individual WMS employees become well-rounded managers and strong contributors to the organization, the agency should thoroughly assess each individual's skill development needs. An action plan or individual development plan should then be prepared to address those needs.

Needs Assessment

The critical first step in preparing the manager's development plan is to examine his/her strengths and weaknesses in relation to the job and the critical knowledge, skills, and abilities (KSAs) essential for successful management. Carefully assessing training needs not only helps the individual manager become more proficient, but also helps the agency to wisely target limited training resources.

There are several tools available to assist with the skills assessment process. Some of the more readily available are described on the following pages, including:

- State Manager Profile Study
- MDPP - Section 5, KSA Assessment
- META 360° - "Management Excellence Through Assessment"
- Wilson Survey of Management Practices
- MBTI - Myers-Briggs Type Indicator
- Bi-Polar Inventory

Development Plans

Once skill-improvement needs have been identified, training activities to address those needs should be determined. Preparation of an individual development plan is a key component of the Manager Development & Performance Plan (MDPP) discussed in Chapter 7 of this handbook and is also an important element of the META 360° needs assessment tool discussed on page 6-8.

The elements included in a manager's development plan will depend on the individual manager's needs, but may include agency internal training, courses offered through the Department of Personnel, seminars and other training offered by professional organizations or other sources, non-classroom developmental opportunities, tuition reimbursement, and/or educational leave.

Beginning on page 6-11 is a listing of the critical KSAs and corresponding WMS core track series and other related courses available through the Department of Personnel to help develop management skills. Alternatives to classroom training are discussed briefly on page 6-16. Tips on developing tuition reimbursement and educational leave policies are presented on page 6-17. At the end of this chapter is a guide to setting up an agency mentoring program.

■■■ Management Development Needs Assessment Tools

The following instruments can be used individually or in combination to help assess the management development needs of individual managers. For more information on the use, availability, and cost of these tools, contact the Department of Personnel, Human Resource Development Division at (360) 586-6748.

Management & Leadership Practices:
A Researched Profile of the Excellent State Manager

This tool is a one-page listing of 47 exemplary management practices common to outstanding managers in Washington State government service. The list is a result of in-depth interviews (conducted in 1990) with over 120 "excellent" managers, their direct reports, and their supervisors. It is very useful as a guide to help evaluate performance, determine training needs, and aid in selection interviews. A copy of the *Management & Leadership Practices* list is shown on page 6-9.

Management Development & Performance Plan (MDPP) - Section 5

The MDPP is the performance appraisal system developed specifically to evaluate the performance of state government managers. Section 5 (entitled KSA Assessment) of the MDPP contains a detailed list of those knowledge, skills, and abilities considered critical to effective management performance. Informally, it can be used as a separate form or work sheet to help ascertain management strengths and weaknesses. The MDPP is described in Chapter 7 of this handbook.

Management Excellence Through Assessment - META 360°:
A Personal & Organizational Communication Improvement Strategy

META 360° is a comprehensive skill assessment tool useful for determining the managerial employee's strengths and development needs in his/her current position. It is a "complete perspective" assessment tool in that the managerial employee, his/her supervisor, peers, and direct reports provide feedback on 74 management practices specific to public service endeavors.

It is an excellent tool for managers to use in developing short and long term development plans. It will also facilitate useful communication between managers and their supervisors and staff members. Agency directors will find it an excellent tool for targeting management development resources since results may be rolled up to indicate agency-wide development and education needs. Please refer to page 6-8 for further information about the META 360°.

Wilson Survey of Management Practices

This survey instrument is designed to assess managers' strengths and development needs and to provide insight on the impact they have on the people with whom they work. It, too, is a "complete perspective" assessment tool — data is obtained from the managerial employee, his/her supervisor, peers, and direct reports. The survey feedback will help the manager assess the skills across six phases of management behavior, from making goals clear and important to reinforcing good performance.

> Note: While both the Wilson and the META instruments are complete perspective feedback tools, there are two significant differences: (1) META has been specifically researched and developed for managers in Washington State government; and, (2) META assesses both the relevance or importance of a skill to the job, as well as the perceived performance level of the manager in that skill. Wilson only assesses the perceived performance.

Myers-Briggs Type Indicator - MBTI

The MBTI is primarily concerned with discerning the valuable differences in people. It is based on Jung's theory of psychological types and indicates basic preferences all people have. Four scales show where people prefer to focus their attention, to take in information, to make decisions, and their orientation to the outside world. It is an excellent tool for team-building efforts, understanding and valuing diversity, and enhancing communication among organization and team members.

Bi-Polar: An Approach to Understanding Yourself and Others

This tool is an inventory that discovers core patterns of personality. The Bi-Polar concept is that all people have a creative core which comes from the interaction of two polar (opposite) strengths—strengths that are positive in themselves. Personal understanding of the four fundamental forces at work in employees' lives (patterns of core strengths, innate capacities, environment, and personal choices) supports clear communication, constructive relationships, and more effective learning and training experiences. It is an excellent team-building aide, also useful in diversity classes and career planning workshops.

■■■■ META 360°

Management Excellence Through Assessment (META 360°)

META 360° is a management needs assessment tool that offers "complete perspective" feedback on a manager's job performance. It is often difficult to see the whole effect that one has on other people and the work flow. The supervisor sees a piece, peers see a piece, and staff members see a piece. To get a complete picture of one's performance, information is needed from all sources. By standing in the middle, the managerial employee has information all around—a 360° viewpoint.

META 360° is a survey that obtains ratings from the manager being assessed, the supervisor, peers, and direct reports on 74 management and leadership practices. The ratings provide two basic types of information: (1) to what degree each of the 74 management practices or behaviors are perceived to be important to the manager's job; and, (2) the perceived degree of skill demonstrated for each of those management practices.

The results are rolled up into competency categories and displayed graphically. This allows the manager to clearly see where his/her strengths and weaknesses are, especially in relation to those management practices deemed essential to the job.

Benefits of the META 360° for the individual manager:

■　　Serves as a guide for professional growth.

■　　Provides a check point for career planning.

■　　Reduces training and development blind spots.

■　　Provides multiple perspectives on one's management strengths and weaknesses.

■　　Highlights competencies and practices considered important in the present job.

■　　Provides a common language for discussing one's job and professional development with others.

Benefits of the META 360° for the agency:

■　　Provides an ideal supplement to the MDPP (performance evaluation system) to assist with preparing individual development plans.

■　　Results for all managers within the agency can be rolled up to provide summary information on agency training needs.

■　　Helps the agency target limited training resources to those skill areas most in need of development.

For more information on the META 360° call the Department of Personnel, Human Resource Development Division at (360) 586-6748.

■■■ Management & Leadership Practices:

A Researched Profile of the Excellent State Manager

(See page 6-6 for more information on this assessment tool.)

Working With Stakeholders
1. You identify stakeholders and ascertain their needs.
2. You build and cultivate personal networks.
3. You demonstrate a practical understanding of the political process.
4. You establish personal credibility, and tell the truth.
5. You work and negotiate with others without arousing hostility.
6. You foster a team approach when working with other entities, readily assuming the role of liaison or intermediary.

Visioning
7. You are proactive, and look to the future when thinking and planning.
8. You have clear goals and articulate them.
9. You identify issues that require dedication of resources.
10. You approach your work "holistically." You maintain a "big picture view."

Leading and Influencing
11. You promote, support, and build on diversity in the workplace.
12. You set clear expectations of others.
13. You provide direction which promotes a cooperative work environment that fosters individual ownership of the work effort.
14. You get others to participate, gaining their support for the work effort, assuring their buy-in.
15. You demonstrate self confidence and exhibit a "can-do" attitude, treating problems as opportunities, while modeling personal excellence.
16. You delegate responsibilities for tasks as well as the associated authority.
17. You identify what motivates others, act on it by providing training and learning opportunities.
18. You actively pursue self-development.
19. You act decisively and explain your rationale when overcoming opposition.
20. You select the right people for the job.
21. You practice active listening.
22. You are visible, approachable and interact with others on a regular basis, fostering an open door policy.
23. You keep others informed by sharing information and providing feedback.
24. You have fun and display a good sense of humor.

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Planning and Organizing

25. You assess needs before defining what is to be done, evaluate alternatives, identify priorities and divide them into manageable portions.
26. You help create measurements to track success, follow through and meet commitments.
27. You are organized, thorough, logical, detailed and analytical.
28. You demonstrate understanding of the state budgetary process.
29. You write clearly and concisely.

Adapting

30. You are flexible, open to change, creative and not bound by tradition.
31. You take risks and learn from your mistakes.
32. You understand the system and work through it effectively.
33. You draw on prior experience, apply common sense, using good judgment.
34. You capitalize on your strengths and minimize your weaknesses, using whatever energy it takes to get the job done.
35. You translate complex issues and information into common language.

Supporting Others

Individuals:

36. You recognize that employees are the most valuable assets in state government and treat them accordingly.
37. You establish relationships based on trust and mutual respect, treating others fairly and equitably.
38. You promote individual approaches to tasks, giving credit where credit is due.
39. You allow for human error, creating an environment that promotes risk taking.
40. You demonstrate appreciation and value for individual needs and diversity.
41. You provide others with what it takes to get the job done, recognizing limitations of resources when managing the workload.

Team:

42. You work collaboratively and cooperatively, facilitating the team approach to problem solving.
43. You solicit the input of others.
44. You match the skills of others to task and their interest.
45. You demonstrate trust and support for the decisions of others.
46. You recognize the successes of others and celebrate them.
47. You are willing to pitch in and help others.

■■■ Critical KSAs and Corresponding DOP Course Offerings

The following courses are offered through the Department of Personnel Human Resource Development Division. Courses marked with an asterisk (*) are part of the WMS core series. A complete catalog and schedule of course offerings can be obtained from your agency training office or the Department of Personnel at (360) 586-6748.

Communications

Knowledge, Skills, & Abilities:
- Adapts communications to diverse audiences
- Delivers quality oral presentations
- Demonstrates verbal/non-verbal consistency
- Shares appropriate information internally and externally
- Manages meetings effectively
- Possesses effective listening skills
- Writes clearly and concisely
- Speaks clearly and concisely

DOP Course Offerings:
- Communication Skills for Managers
- Facilitation Skills Training
- Interpersonal Communication Skills
- Presentation Skills
- Presenting Successful Briefings
- Writing Policies and Procedures
- Writing Skills
- Meeting Management
- Performance Appraisals When Rating Managers
- Creating Win-Win Solutions: Negotiating Skills for Managers
- Delegation
- Achieving Extraordinary Customer Relations
- Customer Service
- Interviewing for Employee Selection
- Long Distance Supervision
- Project Management
- Volunteer Management
- Editing for Clear Writing
- Working With the Media
- Conducting On-the-Job Training
- *Motivating Employees - Building Morale
- *Tailoring Communications to Different Audiences
- *Managing Conflicting Values and Processes
- *Managing Organizational Change

Decision Making

Knowledge, Skills, & Abilities:
- Takes calculated risks
- Uses a logical, rational approach
- Makes timely/responsive decisions
- Takes responsibility for decisions
- Modifies decisions based on new information when appropriate
- Involves appropriate others in the decision-making process

DOP Course Offerings:
- Problem Solving and Decision Making
- Budgeting for the Non-Financial Manager
- Creating Win-Win Solutions: Negotiating Skills for Managers
- Delegation
- Interviewing for Employee Selection
- Leadership Skills That Work
- Project Management
- *Risk-Taking, Managing, and Assessing Risk
- *Building, Leading, and Facilitating Successful Teams

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- *Negotiations
- *Mediations
- *Decision Making - A Public Steward Perspective

Interpersonal Skills

Knowledge, Skills, and Abilities
- Relates well with others
- Demonstrates trust, sensitivity, and mutual respect
- Provides timely and honest feedback in a constructive and non-threatening way
- Maintains confidentiality
- Accepts constructive criticism
- Demonstrates consistency and fairness
- Negotiates effectively

DOP Course Offerings:
- Creating Win-Win Solutions: Negotiating Skills for Managers
- Bi-Polar
- Interpersonal Conflict Management
- Managing a Diverse Workforce
- Sexual Harassment Awareness and Prevention
- Performance Appraisals When Rating Managers
- Communication Skills for Supervisors
- Delegation
- Long Distance Supervision
- Volunteer Management
- Facilitator Skills Training
- Interpersonal Communication Skills
- *Managing Conflicting Values and Processes
- *Building, Leading, and Facilitating Successful Teams
- *Guiding and Coaching Staff
- *Negotiation
- *Tailoring Communications to Different Audiences

Leadership

Knowledge, Skills, and Abilities
- Coaches and mentors; inspires and motivates
- Delegates responsibility with associated authority
- Demonstrates self-confidence
- Leads by example; serves as appropriate role model
- Promotes a cooperative work environment
- Sets clear, reasonable expectations and follows through
- Remains visible and approachable and interacts with others on a regular basis
- Demonstrates high ethical standards
- Gains support and buy-in through participation of others

DOP Course Offerings:
- Leadership Skills That Work
- Dynamics of Motivation
- Ethics
- Delegation
- Performance Appraisals When Rating Managers
- Communication Skills for Supervisors
- Corrective Action
- Creating Win-Win Solutions: Negotiating Skills for Managers
- E.A.S. Connection — Simplifying Supervision
- Achieving Extraordinary Customer Relations
- Customer Service
- Long Distance Supervision
- Problem Solving and Decision Making
- Facilitator Skills Training
- Interpersonal Communication Skills
- *Risk Taking, Managing, and Assessing Risk
- *Building Organizational Focus and Unity
- *Decision Making - A Public Steward Perspective
- *Cultivating Leadership Talents in Others
- *Guiding and Coaching Staff
- *Managing Organizational Change

Chapter 6: Management Development and Education

- * Cultivating Leadership Talent in Others
- * Inspiring Employees - Building Morale
- * Intervention and Conflict Resolution (Mediation)
- * Building, Leading, and Facilitating Successful Teams
- * Understanding Different Team Structures
- * Managing Conflicting Values and Processes
- * Meeting Management
- * Meta
- * Understanding and Working the Legislative Process

Planning

Knowledge, Skills, and Abilities

- Maintains a clear focus on internal and external customer needs
- Plans and budgets for future resource requirements
- Anticipates problems and develops contingency plans
- Effectively sets priorities
- Establishes challenging, attainable goals and objectives
- Identifies short- and long-range organizational needs

- Looks to the future with a broad perspective

DOP Course Offerings:

- Budgeting for the Non-Financial Manager
- Performance Appraisals When Rating Managers
- Creating Win-Win Solutions: Negotiating Skills for Managers
- Customer Service
- Achieving Extraordinary Customer Relations
- Legislative Process
- Project Management
- Working With the Media
- * Tactical and Strategic Planning
- * Knowledge and Skills in Planning and Scheduling
- * Developing Measurable Performance Objectives
- * Positioning Your Work Group
- * Managing for Quality Results
- * Business Principles of Project Management
- * Managing and Developing the Competitive Bid Process
- * Understanding Budget Planning and the Budget Process
- * Developing and Delivering Budget Preparations
- * Negotiations
- * Mediations
- * Tailoring Communications to Different Audiences
- * Managing Perceptions
- * Project Management
- * Managing Contracts Development and Negotiations
- * Understanding Interest Group Needs and Demands

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Human Resource Management

Knowledge, Skills, and Abilities	DOP Course Offerings:

Knowledge, Skills, and Abilities
- Recruits, selects, and retains capable, productive employees
- Achieves affirmative action objectives
- Promotes employee safety and wellness
- Demonstrates knowledge of personnel policies, labor agreements, and Merit System Rules
- Promotes workforce diversity
- Recognizes and rewards good performance
- Assesses and provides for employee development and training
- Encourages and assists employees to achieve full potential
- Evaluates employees timely and thoroughly
- Takes timely, appropriate corrective/disciplinary action

DOP Course Offerings:
- Corrective Action
- Interviewing for Employee Selection
- Performance Appraisals When Rating Managers
- Personnel System
- E.A.S. Connection: Simplifying Supervision
- Project Management
- Conducting On-the-Job Training
- Job Stress
- *Meeting Management
- *Managing Conflicting Values and Processes
- *Inspiring Employees - Building Morale
- *Managing Perceptions
- *Creating Cooperation Between Labor and Management
- *Negotiation
- *Mediation
- *Tailoring Communications to Different Audiences
- *Developing Measurable Performance Objectives

Program/Project Management

Knowledge, Skills, and Abilities
- Monitors and verifies on-going cost
- Ensures quality and quantity standards are met
- Responds effectively to unforeseen problems
- Understands customer needs and ensures customer satisfaction
- Achieves results
- Uses resources efficiently and manages effectively within budget limits

DOP Course Offerings:
- Time Management
- Project Management
- Achieving Extraordinary Customer Relations
- Serving Difficult Clients
- Budgeting for the Non-Financial Manager
- Customer Service
- Legislative Process
- Problem Solving and Decision Making
- *Managing Contracts Development and Negotiations
- *Managing and Developing the Competitive Bid Process
- *Basic Principles of Project Management
- *Business Process Redesign and Re-engineering
- *Managing for Quality Results
- *Instituting Performance and Outcome Measures
- *Understanding Accountability as a Public Steward
- *Effective Monitoring and Evaluating
- *Understanding Budget Planning and the Budget Process
- *Developing and Delivering Budget Presentations
- *Positioning Your Work Group
- *Developing Measurable Performance Objectives
- *Knowledge and Skills in Planning and Scheduling
- *Understanding Interest Group Needs and Demands

External Environment Interaction

Knowledge, Skills, and Abilities
- Works effectively within the political environment
- Exhibits knowledge and shows cooperation regarding intra- and inter-agency programs/ activities/responsibilities
- Displays sensitivity to public attitudes and concerns
- Understands and cultivates stakeholder relationships

- Demonstrates team play

DOP Course Offerings:
- Legislative Process
- Working With the Media
- Budgeting for the Non-Financial Manager
- Creating Win-Win Solutions: Negotiating Skills for Managers
- Legislative Process
- Serving Difficult Clients
- * Managing Perceptions
- * Creating Cooperation Between Labor and Management
- * Negotiations
- * Mediation
- * Tailoring Communications to Different Audiences
- * Understanding Interest Groups Needs and Demands
- * Media Relations
- * Understanding Budget Planning and the Budget Process
- * Developing and Delivering Budget Presentations
- * Understanding Accountability as a Public Steward
- * Project Sponsorship and Steering Committee Participation
- * Understanding and Working the Legislative Process
- * Intervention and Conflict Resolution
- * Managing Conflicting Values and Processes
- * Decision Making - A Public Steward Approach
- * Meeting Management

▇▇ Alternatives and Supplements to Classroom Training

Formal classroom training is not the only—or necessarily the best—means for meeting all of a manager's developmental needs. In addition to (or as an alternative to) course work, there are several non-classroom types of developmental activities in which an individual manager might engage to enhance his/her skills. Examples include:

■ Reading appropriate journal articles and books. (Public libraries and universities are an excellent, inexpensive source.)

■ Coaching, mentoring, or related assignments. (A guide to assist agencies in setting up a mentoring program is included at the end of this chapter.)

■ Watching/listening to video and audio tapes.

■ Developmental job assignments (e.g., special projects, rotational assignments, job exchanges, task force participation, attendance at meetings outside primary responsibility area)

■ Volunteer activities (e.g., agency committees, community organizations)

■ Networking in professional organizations

■■■ Tuition Reimbursement and Educational Leave

WAC 356-56-410 instructs each agency to establish policies governing tuition reimbursement and educational leave for WMS managers. These policies will help when dealing with those who may wish to participate in credit courses at a college or university while on the job or who may request time off to pursue educational endeavors.

The following points should be considered when preparing these policies:

1. Become familiar with the provisions of WAC 356-39-100 (130) which contains the tuition reimbursement policy for employees in the Washington General Service. This same policy could be adopted for managers.

2. What are the pros and cons of having different tuition reimbursement and educational leave policies for managers and for non-management staff?

3. Should tuition reimbursement be available only for those skill enhancements that pertain to specific job-related skills? Or, will reimbursement be available for an employee to work toward a degree, even if some classes don't help with their current assignment?

4. Is it important to have consistency in the agency about tuition reimbursement? Does there need to be a philosophy about tuition reimbursement, as well as processes to follow so that each decision maker will be consistent?

5. Is there adequate funding to allow a consistent policy about tuition reimbursement; or, will requests be handled on a first-come, first-serve basis?

6. What will be the agency policy about attending courses during work hours?

7. Will reimbursement and/or leave be available for seminars or courses that do not lead to degrees?

8. What will be the policy regarding the length of time allowed for educational leave?

9. Will any plans or documentation be needed for educational leave?

10. Should tuition reimbursement or leave be part of a recognition program - for excellent performance?

11. Will tuition reimbursement funds be prioritized for a hierarchy of needs: immediate skills? Completion of undergraduate degrees? Completion of graduate degrees?

Chapter 7: Performance Appraisal

Chapter Contents

■■■ Management Performance Evaluation

The statute creating the Washington Management Service, RCW 41.06.500, calls for:

> *"...a performance appraisal system that emphasizes individual accountability for program results and efficient management of resources; effective planning, organization, and communication skills; valuing and managing diversity; development of leadership and interpersonal abilities; and employee development...".*

Performance evaluation is addressed in the WMS rules in WAC 356-56-440. The rule requires that each agency evaluate the performance of its managers during their review periods and at least annually thereafter.

The Management Development and Performance Plan (MDPP) is the new performance evaluation system that has been developed specifically for managers in Washington State government. The MDPP focuses on achievement of results and the development and exercise of those knowledge, skills, and abilities critical to managerial success.

The MDPP form and guidelines for its use are contained within this chapter. Agencies can obtain the MDPP form through Central Stores. The form is also available on disk for use in Microsoft Word. The disk and User's Guide can be obtained by contacting the Department of Personnel at (360) 586-6427.

Agencies may tailor the MDPP to ensure that the performance evaluation system best fits the needs of the organization. If modifications are made, WAC 356-56-440 requires that emphasis still be placed on:

■ Collaboration and communication between the supervisor and managerial employee;

■ Planning for and assessment of results;

■ Preparation of an individual development plan; and,

■ Assessment of those knowledge, skills, and abilities that are critical to effective managerial performance.

The Department of Personnel offers courses on how to use the MDPP. For further information, call (360) 586-6201.

Chapter 8: Review Period and Reversion

Chapter Contents

■■■ Review Period

The purpose of the review period is for the new manager to learn the job, and for the hiring manager to observe performance and progress. As with any appointment, the hiring manager will need to provide training, evaluate the new manager, and communicate this information with the appointee. Please refer to Chapter 7 (Performance Appraisal) for tools available for evaluating performance.

Under the WMS, the review period allows some flexibilities that agencies will need to consider how to administer. For example, the agency will need to determine how long a review period should be and at what point during the review period performance evaluations will be conducted.

Circumstances Calling for a Review Period

Employees who are hired or promoted into a Washington Management Service position (including those who promote from one WMS position to another WMS position) will serve a review period.

Employees in existing classified positions that are included in the WMS at its inception will not need to serve a review period. Employees who are in a probationary or trial service period will complete the terms of the original appointment. This includes positions that were in the former Career Executive Program.

A review period is optional when promotions occur within the same position, or when filling positions with a transfer or voluntary demotion. If the duties performed will be substantially the same, the review period would not provide additional information about the employee's performance. However, if the duties are significantly different from what the person has done previously, a review period may be appropriate.

Length of the Review Period

The General Service requires a fixed, predetermined probationary period of six to twelve months, based on job class. Promotional appointees in the General Service serve a six month trial service. The WMS requires a review period of between twelve and eighteen months. Within this range, each agency has discretion to determine how long the review period will be. Agencies can also choose to use a "floating" review period. A floating review period is one in which a minimum (at least 12 months) and maximum (no more than 18 months) length for the review period are set in advance and tied to predetermined performance goals.

The nature of the position should be the primary factor considered. The experience the employee brings to the position may be another factor. Agencies will want to base decisions on job-related factors—ensuring that decisions are equitable and that there is no disparate treatment for non-job related reasons (race, gender, etc.).

Agency Policies

Some issues to consider in preparing agency policies include:

- Who will decide the length of the review period? Based on what criteria?

- Will all positions within a particular band or functional area have the same length of a review period?

- How will an appointee's strengths or weaknesses be objectively factored in when determining the length of a review period?

- How will flexible approaches be managed to ensure equity and nondiscrimination?

- If a floating review period is used, what will be the checkpoints and criteria for determining when the review period has been completed? How will this be communicated to appointees at time of hire?

- How should decisions be made for determining whether a review period is necessary for changes in the current job, transfers, and demotions?

- What will be the timing and frequency of performance evaluations during the review period?

Agencies are reminded that it may not be necessary or desirable to prescribe specific procedures or "answers" to each of these questions. Case-by-case customized approaches are recommended. Check points, authorization points, and perhaps a checklist of values to be considered may be the only issues to identify in procedures.

▬ Reversion

During the review period, it may become clear that an appointee's performance does not meet the needs of the position (such a determination should only be made following a performance evaluation and subsequent, appropriate training and assessment). If the person was appointed from outside state service, there are no reversion rights. The reversion options for those who held permanent status prior to the appointment are outlined in WAC 356-56-230. The primary reversion options are summarized below:

- ■ An employee with permanent status in the WMS has reversion rights *within the hiring agency* to a vacant funded position for which he/she is qualified <u>and</u> that is comparable to the employee's previous WMS position. If no such position exists, the agency shall place the employee in a position for which the employee is qualified, similar to the previous position and salary. This may result in a RIF action as outlined in WAC 356-56-550.

- ■ A permanent employee in the General Service who is appointed to a WMS position *within the same agency* has reversion rights to the job class previously held with permanent status.

- ■ A permanent employee in the General Service who is appointed to a WMS position *in a different agency* has reversion rights to a vacant position in the hiring agency. The position must be comparable to the position in which the employee held permanent status before being appointed to WMS. If there is no vacant position, the employee may be placed on a reversion register.

The above is a brief summary of the key options for reversion in the Washington Management Service. To ensure fair treatment of employees, it is important to carefully review WAC 356-56-230 when a reversion occurs.

■■■ Return from Exempt

Washington Civil Service law provides that exempt employees who were previously permanent in classified positions may return to a position comparable to the one held prior to the exempt appointment. Since Washington Management Services positions are by statute civil service positions, employees returning from exempt would have rights to them.

As has been the case prior to the implementation of WMS, agencies may first consider vacancies. If there are no vacancies that meet the criteria, the return of the employee may create a situation of having more employees than FTEs. In this case, a double-fill may be appropriate, or the agency may need to conduct a reduction-in-force (RIF). If a RIF is necessary, then all applicable RIF rules and contract agreements should be consulted to determine who had rights to which positions.

Chapter 9: Reduction-in-Force

Chapter Contents

■■■ Reduction-in-Force Options and Procedures

A reduction-in-force (RIF) happens for varying circumstances. The consistent philosophy during RIF, however, is to find the highest available position to decrease the detrimental effects to the employee and minimize disruption to the agency.

Historically, when a classified position is abolished the incumbent's RIF options are based on classifications in which the employee has held permanent status. The Washington Management Service (WMS) does not have job classifications. However, the basic considerations in determining RIF options are consistent with the RIF process for the General Service. These are:

- Each agency is required to have a RIF procedure.

- Seniority is the predominant factor considered.

- Appropriate funded vacancies are offered before filled positions.

- The employee's personal work history and job skills are utilized in determining options.

Agencies will have greater flexibility when determining options for those employees who are subject to RIF because there are no job classifications in the WMS. This may result in more opportunities for managers to continue state employment.

Transition Period

An employee's RIF options under the WMS rules are based on the relative point values of the positions under consideration, as determined by the position evaluation process described in Chapter 4 (Compensation). These options cannot be fairly determined until all WMS positions in an agency have been evaluated and assigned a point value. Therefore, WAC 356-56-050 stipulates that employees are to be treated in accordance with WAC 356-30-330 (the General Service RIF rules) if a reduction-in-force occurs before all positions in an agency have been evaluated.

The options and considerations outlined below will apply once all WMS positions in an agency have been evaluated and placed in one of the four WMS management bands.

Determining RIF Options

When seeking RIF options for WMS employees, agencies should look at options in the order listed below for each progressively lower point value:

- A WMS funded vacant position at the same point value for which the employee has appropriate education/work history and skills and greater seniority.

- A funded vacant General Service position, at an equivalent salary (i.e., the WMS employee's current salary falls within the range of the General Service position), allocated to a class in which the WMS employee has held permanent status and has greater seniority.

- A WMS filled position at the same point value for which the WMS employee has appropriate education, work history, and skills and greater seniority.

- A filled General Service position, at an equivalent salary level, allocated to a class in which the WMS employee has permanent status and for which the WMS employee has greater seniority.

- *(New)* A WMS acting position at the same point value for which the WMS employee has appropriate education, work history, job skills and greater seniority.

- *(Optional)* The agency may offer a WMS funded vacant position at a higher point value for which the agency has determined the employee has appropriate education/work history and skills.

When evaluating RIF options at progressively lower levels, agencies are reminded to continually consider General Service positions in job classes for which the WMS employee has permanent status.

Historically, selective certifications are placed on positions for recruitment and RIF purposes. The WMS does not have a formalized selective certification process. Each agency decides, position by position, what specialized skills are necessary to perform successfully in the position and applies those requirements during RIF. The agency determines if the employee's background appropriately fits the requirements of the position that is being considered as an option and may consider the employee's education and work history obtained outside of state service. When considering General Service positions as options, the standard selective confirmation process described in WAC 356-30-330 is followed.

Agencies must consider appropriate Washington General Service (WGS) positions within the agency in the same occupational field with the same or similar salary for which the employee is qualified and has held permanent status, prior to considering appropriate WMS positions which have a lower salary.

Permanent WMS employees, who have no options for same or similar positions in the WMS and who have held permanent status in the General Service, will have RIF rights in the General Service as provided in WAC 356-30.

If WMS employees have no options in WMS and they have not held permanent status in a General Service classification, they have no bump options. However, the agency may

offer them other positions in the WMS or in the General Service if the offer does not interfere with other employees' RIF rights and bump options and is permissible under the merit system rules.

There will not be a RIF register for positions in the WMS. However, a WMS employee is entitled to be placed on RIF registers for General Service classes in which the employee has held permanent status. This is identical to the existing process used for the General Service. The RIF Transition Pool is accessible for WMS employees who are subject to RIF.

Given that RIF occurs in extreme circumstances and no one benefits from complete separation of employees, it is recommended that agencies be as flexible as possible in matching WMS employees with positions. The goal is to seek an option for the employee at the current salary, or very close to it, either in the WMS or General Service.

■■■ Sample RIF Letter

August 19, 1996

Jane Doe
4222 Avenue SW
Anytown, WA 98512

Dear Jane:

This letter is to inform you that due to lack of funds and good faith reorganization for efficiency purposes your position *#0033, WMS Assistant Director*, in the *Office of State Agency A* is being abolished effective *5:00 PM, Monday, September 1, 1994*. This is being done without prejudice and in accordance with Merit System Rules WAC 356-56-550 and WAC 356-30-330 and the *Office of State Agency A's* approved RIF plan.

Employees who are subject to reduction-in-force (RIF) but have attained permanent status within the Washington Management Service enjoy certain seniority rights. According to our personnel records, your seniority date is *4/27/76* and you have attained permanent status in the Washington Management Service.

Your employment RIF options are:
>   #1 Voluntary Separation
>   #2 WMS Manager #0240
>   #3 WMS Manager #0155

You have three working days to accept one of the above options.

Please note that failure to return a written notice of acceptance of an option will be interpreted as your rejection of the options and result in your separation from service on the effective date shown above.

As a permanent state employee, you have the right to appeal the basis for this action by submitting a written request for review to the Personnel Appeals Board, 2828 Capitol Boulevard, PO Box 40911, Olympia, Washington, 98504-0911, within thirty calendar days of the effective date of the reduction-in-force action. A written request for review of the action should contain the reasons and basis for your appeal.

If you have any questions about this action, do not hesitate to talk with your Personnel Officer. Your contributions to the agency have been appreciated.

Sincerely,

Appointing Authority

Enclosures
cc: Personnel file

■■ Sample RIF Letter Attachment

RIF Rights and Options for Employees with Permanent Status in the Washington General Service

Based on your rights as a permanent state General Service employee, you are eligible to have your name placed on the Agency and Service-Wide Reduction-In-Force (RIF) registers for the job classification in which you gained permanent status and the Reemployment register for job classifications in which you gained permanent project status. Enclosed are state employment applications for your use. Please send the completed applications to the Department of Personnel. Also enclosed is an information sheet, "Applying for placement on RIF or Reemployment Registers."

Once your name is placed on RIF registers, your name will only be referred to those agencies and locations where you have indicated availability. If you are offered an interview or a position and decline the offer three times, your name will be removed from that RIF register. If you are removed from a RIF register, you may apply for placement on the reemployment register. Your name is eligible to remain on the Agency RIF register for three years and the Service-Wide RIF register for two years.

RIF Rights and Options for Employees with Permanent Status in the Washington General Service or Washington Management Service or Both

If you decide to waive your options and it results in a period of unemployment, you are eligible to take tests and compete as a promotional candidate for Department of Personnel registers for one year from date of separation. You should also consider applying for transfer and voluntary demotion registers for which you qualify.

You also have the right to be placed in the RIF transition pool to be considered for vacancies in other agencies. Please contact the Department of Personnel for further details.

If you are separated, you are entitled to a lump sum payment of unused vacation leave; unused sick leave credits will remain "on the books" for a period of up to five years from the date of your separation. Merit System Rules state that you may defer the payment of your accumulated vacation leave for a period of thirty days. If you are paid for your vacation leave and are reemployed within the period of time represented by the number of days for which vacation pay was received, you must return the payment for the remaining vacation days. If you have not yet taken advantage of your personal holiday this year, you should do so before your termination date.

Chapter 9: Reduction-in-Force

As a permanent employee, you have been entitled to medical and dental benefits. The full employer-provided coverage will end upon your termination. If you are interested in information about self-payment of your benefits please contact your payroll representative.

Once off the state payroll, employees may elect to leave their retirement contributions with the retirement system or request a refund of accumulated contributions, plus interest. Withdrawal forms are also available upon your request. You should be cautioned, however, that withdrawal of your contributions will terminate your membership and cancel all rights and benefits you have accrued in the retirement system. Membership can be reestablished upon reemployment. If you request a refund and enter into eligible employment within thirty days or prior to the refund being made, you will not be entitled to keep it.

As a permanent state employee, you have the right to appeal the basis for this RIF action by submitting a written request for review to the Personnel Appeals Board, 2828 Capitol Boulevard, PO Box 40911, Olympia, Washington, 98504-0911, within thirty calendar days of the effective date of the reduction-in-force action. A written request for review of the action should contain the reasons and basis for your appeal.

If you have any questions about this RIF action, do not hesitate to talk with your Personnel Officer. Your contributions to the state through your employment are appreciated.

Chapter 10: Appeals and Reviews

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■■■ Appeals and Reviews Under WMS Rules

The Washington Management Service (WMS) establishes what items in the rules can be appealed to the Personnel Appeals Board versus those issues that are reviewed through an agency. This was done to create more efficient and timely processes to resolve disputes about the application of the WMS rules.

Appeals to Personnel Appeals Board

The following items are appropriate for appeal to the Personnel Appeals Board utilizing existing procedures:

- Disciplinary actions.

- Reduction-in-force.

- Disability separations.

- Transfers that are alleged to be an unreasonable commute.

Agency Reviews

Salary adjustments (or lack thereof) associated with a change of duties and placement following reversion are issues that shall be reviewed inside the employee's agency. Inclusion in or exclusion of an employee's position in the WMS is also to be reviewed in the employee's agency; however, the employee may ask the Director of the Department of Personnel to review the agency decision.

Each agency is required to develop policies and procedures for conducting reviews. Some may find that an existing grievance procedure may be modified to accomplish this requirement. However, whichever approach is chosen the agency review process must address the following:

- The review process is limited to a maximum of three levels. Fewer levels are fine depending on the needs of the agency.

- Employee requests for review must be in writing and requested within 15 days of the employees awareness of the action, notification of the action, or implementation of the action, whichever occurs first.

Agencies may choose to conduct meetings with the employee during the review or review relevant documentation only. The agency policy and procedures should reflect which approach (or both) is chosen.

Additionally, each agency is required under WAC 356-56-610 to maintain records of the number, nature, and outcome of reviews. Each agency is responsible for identifying and acting upon patterns or trends that signal problems or training needs among its managers.

■■■ Sample Policy on Agency Reviews

Purpose

To establish a timely process to resolve manager disputes at the lowest level possible in the agency. This process is not intended to substitute for, or inhibit, ongoing discussion between managers and their supervisors.

Items Appropriate for Agency Review

Pursuant to WAC 356-56-610, salary adjustments (or lack thereof) associated with a change of duties, placement following reversion, and inclusion in the Washington Management Service shall be reviewed in accordance with this policy. **(These are the review items specified in the WAC. Agencies may wish to add to this list where appropriate).**

Process for Review

Employees must request a review in writing within 15 days of the employee's awareness of the action, notification of the action, or implementation of the action, whichever occurs first. Attempts shall be made during this period of time to bring about an amicable resolution to the dispute.

The manager shall present the review request to his/her immediate supervisor. The request shall be signed by the manager and include specific issues surrounding the action that caused the dispute and the desired remedy. The supervisor shall (meet with and)* respond promptly to the manager in writing indicating the supervisor's decision.

If the above fails to resolve the manager's dispute, then the manager must immediately file a further request to the appropriate assistant director. The assistant director or designee shall (meet with and)* respond promptly to the manager in writing indicating what decision has been reached.

If the manager disagrees with the above decision, the manager may initiate a request for review to the agency head or designee. The agency head or designee shall (meet with and)* respond promptly to the manager in writing indicating what decision has been reached. The agency head or designee decision is final, except on review relating to inclusion in the Washington Management Service (WMS).

If the manager disagrees with the agency decision on inclusion in the WMS, the manager may submit a request to the Director of the Department of Personnel for further review. This request must be in writing within 15 calendar days and clearly state why the definition of manager, as provided in WAC 356-56-002, does or does not apply to the manager's position. This request must be sent to the Director of the Department of Personnel, 521 Capitol Way South, P.O. Box 47500, Olympia, WA 98504-7500.

*Agencies may add language in ( ) if the agency chooses to conduct meetings with the employee as part of the review process.

Chapter 11: Communications

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■■■ Communications: Key to Successful Implementation

The Washington Management Service calls for a new way of thinking when it comes to personnel actions affecting WMS managers. Gone is the familiar, structured system of job bulletins, registers, referrals, job classes, salary ranges, and the like, and in its place is a flexible system where recruitment, hiring, compensation, and similar decisions are tailored to the needs of the individual agency, position, and employee. This drastic change requires a paradigm shift for WMS managers, human resource professionals, and the executive level managers who supervise WMS positions.

As with any significant change, communication and involvement are the keys to successful implementation of the WMS. To fully understand and accept the changes, all of the affected parties need access to all of the available information, and they need to have an opportunity to participate in the development and implementation process.

DOP Communications

Recognizing the importance of communications to the successful development and implementation of the WMS, the Department of Personnel has put together a communications program that is designed to reach all of the affected parties. The following is a summary of the communication methods that were used in the initial stages and those that are ongoing:

- ■ Task force participation from 40 state agency program managers, personnel professionals, and union representatives to develop the framework for the WMS rules and guides.

- ■ Presentations made to Legislative committees, Cabinet meetings, and agency executive meetings.

- ■ Discussion sessions held around the state, with more than 1,500 potential WMS managers participating.

- ■ *WMS Update* newsletter published frequently and distributed to all affected employees.

- ■ Frequent meetings with human resource managers.

- ■ Handbook and other support materials for human resource professionals.

- ■ Other informational brochures and guidebooks.

Chapter 11: Communications

Agency Communications

While DOP provides informational pieces of a general nature, a large portion of the information about WMS needs to be generated and distributed at the agency level. Each agency has a lot of flexibility in how WMS is implemented. Employees want information on how the WMS changes affect them; which means that they need to know about the WMS policies and procedures within their particular agency.

The following are some suggestions and considerations for agency internal communications:

- Who are our target audiences?

  - WMS Managers

  - Supervisors of WMS Managers

  - Agency executive management

  - General Service employees

- What information do they need/want?

- What is the best method for communicating with our target audiences?

  - Internal agency newsletters

  - Memos, information bulletins, etc.

  - Other printed materials

  - Meetings, training sessions, discussion sessions

  - Task force involvement

- What role should our public information office play? How can we work together for better communications?

For questions, suggestions, or requests relating to WMS communications, call the DOP communications office at (360) 586-0402.